Illinois Sentencing Policy Advisory Council (SPAC): The Utility of State Criminal Justice Data Systems for the Analysis of Sentencing Practices

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Executive Summary

The Sentencing Policy Advisory Council (Council/SPAC) is an independent council charged with informing Illinois sentencing and corrections policy decisions by collecting and analyzing data, providing information to support evidence-based sentencing, preparing annual criminal justice population projections, and preparing criminal justice resource statements regarding proposed criminal sentencing legislation for the Illinois General Assembly. In order to perform these statutorily mandated duties, the Council will require comprehensive state-wide data on each of the major decision points of the criminal justice system – arrest, prosecution, adjudication and sentencing – as well as complete information on corrections and community-based corrections populations.

At its March 8, 2010 meeting, the SPAC requested that the Illinois Criminal Justice Information Authority (Authority) report on the status of existing data in Illinois, with the assistance and input from the Administrative Office of the Illinois Courts (AOIC), the Illinois State Police (ISP), and the Illinois Department of Corrections (IDOC). Based on earlier documentation by Authority staff concerning the current deficiencies in criminal justice data systems for analysis of Illinois sentencing policies and practices, the Authority was also asked to describe possible remedial measures to enhance the current major state-level criminal justice data systems, and propose new strategies for data collection that are not yet in use.

Officials from each of the three state agencies that house and manage major state criminal justice information systems provided ideas to enhance their systems for sentencing analysis.

Illinois State Police (ISP):

ISP described several issues which cause crucial data to be missing in the Criminal History Record Information (CHRI) System, which lessen the value of CHRI data for sentencing analysis purposes. They include non-reporting of events by local agencies as required by law; errors in the reporting of mandatory data elements that obstruct data linking or processing by the CHRI system; the inability of some jurisdictions to afford electronic submission equipment such as live scan, which can greatly improve the quality and timeliness of their submissions; the inability of ISP to have two-way exchanges with data submitters, since current technology has been set up to proceed only from the local agency to ISP; and an aging CHRI system infrastructure.

The following are solutions suggested by the State Police to address the issues listed above:

- Increase State Police capacity to provide CHRI training to all criminal justice entities throughout the state on an annual basis
- Increase State Police capacity to conduct CHRI audits of local agencies, or modify the Illinois Criminal Justice Information Act (20 ILCS 3930) to allow the ICJIA to assist in these local audits.
- Increase local funding for electronic means of submitting required CHRI information, including live scan equipment and development of electronic submission methods for State's Attorneys Offices.

- Continue to work with circuit court clerks to create ways in which ISP can retrieve missing court information directly from the court's Management Information Systems (this is currently being done in Cook County)
- Secure funding for replacement of current aging infrastructure systems, including the Automated Fingerprint Identification System (AFIS), the CHRI system, and the current Law Enforcement Agency Data System (LEADS).

Administrative Office of the Illinois Courts (AOIC):

AOIC officials described issues of non-uniformity in the reporting of court activity, dispositions, and sentences across court jurisdictions results in incompleteness of case-level Automated Disposition Reporting (ADR) court files, which lessens its value for sentencing analysis purposes. The lack of participation in the ADR program by Cook, DuPage and 16 other counties implies that access to statewide sentencing data by SPAC would necessitate separate acquisition strategies from those counties. AOIC officials also described the limitations associated with the data sets that are reported in an aggregated fashion to AOIC. Statewide aggregate court and probation statistics that they make available from AOIC annual reports are insufficient for purposes of analyzing and understanding Illinois sentencing practices. There are also no mechanisms currently in place to capture case-level probationer data and, although work is underway, there is no mechanism currently in place to capture standardized Pre-Sentence Investigation (PSI) report data across the state.

The following are solutions suggested by AOIC officials to address the issues listed above:

- Roll-out of a standardized presentence investigation report, which has been developed by AOIC, and finalization of a training and implementation plan.

- Complete work on the Judicial Branch Portal to expand the scope of information exchanges that can be performed on this platform. The Portal is currently used to accommodate judicial training sign-up and course selection, but is now being expanded to accommodate the POLARIS application, and could potentially facilitate enhanced reporting of court activity between circuit court clerks and the AOIC.

Illinois Department of Corrections (IDOC):

IDOC officials described several limitations within their Offender Tracking System (OTS) including the lack of a mechanism to account for completion or progress made with program services elements; the inability to accurately capture an inmate's actual address to which he or she is returning (for community supervision purposes); the lack of reliability of self-reported information concerning an offender's educational levels, gang membership, and substance abuse; and the difficulty in capturing data on an offender's ethnicity.

Solutions to these problems necessitate a reengineering of the current antiquated IDOC physical information systems, which requires major funding, accompanied by a reassessment of the

manner in which various data fields are collected and whether enhanced data sharing strategies with local and state agencies could resolve the limitations stated above. A specific plan of this nature has not yet been posited by IDOC officials.

Another identified problem concerns the mittimus report that accompanies each new inmate, and which specifies the committing county, the conviction charges, and sentence length associated with each charge. It is not uncommon for IDOC to seek local follow-up because the notations are ineligible or need further clarification. There are variations in the format of the mittimus statewide; some counties have an automated form while others utilize hand-written documents.

IDOC officials recommend development of a standardized mittimus format to indicate key information such as probation violation status, truth-in-sentencing applications, extended sentences, registration requirements (sex offender, methamphetamine, arson, and murder of victim under sixteen years of age), concurrent and consecutive sentences, a prior alternative sentence imposed (drug court or school), or mental health issues), all collected in the form of check boxes.

New directions for data collection to support SPAC

Case-level Probation Data Reports

Despite the large number of offenders on probation, due to the organization and operation of probation in Illinois, the availability of detailed data regarding this population is limited. Because probation in Illinois is operated at the county-level, with each county's probation department having unique information systems and needs, requiring departments to submit detailed probationer-level data on a regular basis to AOIC is a formidable challenge. AOIC has, however, organized and facilitated the collection of detailed, case-level information for Illinois' probationers during specific sampling periods in the past.

At several times during the 1990s and the last decade, AOIC and the Authority conducted probation intake and outcome studies, whereby local probation officers collected and reported to AOIC detailed probationer data during specific months. This provided researchers, policy makers, and practitioners with the first glimpse into some of the characteristics of Illinois' probation population and their sentences. Information included probationer demographic and socio-economic characteristics, the conditions of their probation sentences, and the outcome of their probation sentence. Some studies also included more detailed information regarding the probationers' living arrangements, substance abuse problems, conviction offense, and the nature of new arrests and technical violations. Future efforts of this type may be possible, if concerns over data quality can be resolved.

Also, for the past several years, AOIC has been developing an electronic system whereby local probation departments will be able to submit client-level data. The Probation On-Line Automated Reporting Information System (POLARIS) is expected to provide an opportunity for individual departments and AOIC to analyze trends, perform group comparisons, and provide an empirical basis for evaluating probation programs, strategies, and practices. Much of the

developmental work on this system is complete. AOIC is now addressing implementation issues, including: 1) a site impact investigation component, which is intended to test the impact of proposed changes on individual probation reporting systems – such as the feasibility of inserting new data elements into those existing systems; 2) finalizing the system architecture, equipment and transmission processes for the new database; and 3) technical and content review to ensure that the proposed system and its subcomponents meet the needs of its stakeholders. Additional resources may be needed to operationalize the system.

Direct access to county-level court and probation files

Besides the data sources that collect and report statewide information, it is important that SPAC not overlook the possibility of rich data being collected at the county level by local probation agencies to monitor their programs and case flow. For instance, the Authority is aware that the Cook County Adult Probation program utilizes an automated system, PROMIS, which probation officers use to monitor their clients. Much of the information in this system is qualitative in the form of case notes; however, it presents many opportunities to generate additional data.

Local court systems may collect relevant information for their own monitoring purposes. Reaching out to these localities may also provide data necessary to inform the work of SPAC. Such outreach and enhanced data collection needs to be coordinated centrally thru the AOIC.

Presentence Investigation (PSI) Reports

A wide range of contextual and offender background factors come into play in sentencing decisions and are therefore of interest to SPAC in understanding how these decisions are reached. One possible direction is implementation of a standardized Presentence Investigation (PSI) report. This approach leverages an existing justice operation carried out by probation departments to assemble the very information used by judges to guide sentencing decisions – thereby providing the data needed for sentencing analysis. The AOIC is in the process of developing such an instrument.

A recognized model for this approach has been produced by the Virginia Sentencing Commission, whose standardized PSI has proven successful in supporting the work of the commission in that state. Their PSI instrument is mandated for use in each court district, and contains approximately 200 coded fields containing information on specific circumstances related to the presenting offense, the offender's criminal history, and relevant social history factors such as employment, education, and family support. Virginia has been able to obtain comprehensive buy-in from all probation departments, who complete and submit these reports for all convicted defendants. The individual's social history, education, treatment referrals, and other dynamic fields can all be updated electronically by the probation officers.

In Illinois, at least two major challenges exist to following the same course. First, PSIs are not conducted on all convicted offenders. Second, the level of detail and quality of the information in these instruments varies considerably across jurisdictions. A feasibility study for implementing a

standardized PSI across the state is needed, assuming AOIC concurrence. The study could query each probation department to determine their protocols and procedures for generating PSIs. The study could also help SPAC identify the circumstances under which PSIs are/are not generated for convicted offenders, estimate the actual numbers generated and the percentage that represents of all convicted offenders, and determine the variance in PSIs used across the state. With the Virginia PSI as a model, a gap analysis could then pinpoint how far each jurisdiction is from furnishing the level of detail needed to conduct sentencing analysis. In the end, the results from this study would provide a knowledge base from which an implementation strategy could be devised for standardizing PSIs, along with perhaps recommendations for how these reports would be collated, managed, and used for analysis.

Conclusion

Within Illinois there is a bifurcated management and oversight process which determines how sentencing information is collected and shared in the State. Specifically, the Executive Branch oversees the Illinois State Police and the Illinois Department of Corrections, while the Judicial Branch oversees the circuit courts and court services (pre-trial services, community corrections and probation) across the state. This poses an inherent challenge relevant to the work of the SPAC in that there is no overarching or single structure that determines standardized data collection tools, processes, and information sharing protocols between the Executive and Judicial Branches that would effectuate all the data enhancements needed to inform the study of sentencing policies and practices.

Data collection practices in the past have satisfied the administrative requirements of both branches in Illinois. However, in light of legislation creating the SPAC, we have entered a time of greater scrutiny and need for collaboration to provide the necessary informational support that underlies the Council's mandate.

Introduction

The Sentencing Policy Advisory Council (Council/SPAC) is an independent council charged with informing Illinois sentencing and corrections policy decisions by collecting and analyzing data, providing information to support evidence-based sentencing, preparing annual criminal justice population projections, and preparing criminal justice resource statements regarding proposed criminal sentencing legislation for the Illinois General Assembly. The Council is also part of the broader framework that was created by the Crime Reduction Act of 2009. In order to perform these statutorily mandated duties, the Council will require comprehensive state-wide data on each of the major decision points of the criminal justice system – arrest, prosecution, adjudication, sentencing and corrections and community-based corrections populations.

At its March 8, 2010 meeting, SPAC requested that the Illinois Criminal Justice Information Authority (Authority) report on the status of existing data in Illinois, with the assistance and input from the Administrative Office of the Illinois Courts (AOIC), the Illinois State Police (ISP), and the Illinois Department of Corrections (IDOC). The purpose of this report is to provide more detail on the availability of statewide criminal justice data at each stage in the criminal justice system, and make recommendations for additional data the Council may need to obtain in order to achieve its objectives. It is important to note that most statewide sources of criminal justice data are administrative data sources, collected for the management purposes of each agency. These data sources may be imperfect for research or policy analysis.

Illinois State Police Datasets

Arrests

Illinois Uniform Crime Reporting Program
Level of Measurement: Municipality/County

The Illinois Uniform Crime Reporting (I-UCR) Program was developed by the Illinois State Police (ISP) in 1971 and fully implemented in 1972. As mandated by statute (20 ILCS 2630/8), ISP acts as the central repository for crime statistics in Illinois, with the authority to demand cooperation from submitting entities, including local law enforcement agencies and any other entity in the state with arrest powers.

I-UCR requires local law enforcement agencies that employ sworn officers to submit monthly aggregate statistics concerning reported offenses (including attempts) and arrests for eight index crimes: the four violent index crimes of murder, criminal sexual assault, robbery and aggravated battery/aggravated assault; and the four index property crimes of theft, burglary, motor vehicle theft and arson. In addition, arrests for the drug categories of cannabis, controlled substances, paraphernalia, and syringes/hypodermic needles are reported. Table 1 provides more detail on the crimes included in each index offense category. All attempts are counted within their corresponding index category, except attempted 1st and 2nd degree murder, which are counted within the aggravated assault/aggravated battery index category.

The reporting categories and associated offenses, along with the methodology for scoring statistics between the years of 1995 and 2009 remained constant. Effective January 1, 2010, revised reporting guidelines were implemented to achieve compliance to the Federal Uniform Crime Reporting Program. The revisions for counting offenses included changes in the scoring methodology by applying the hierarchy rule in a multi-offense incident (meaning that only the most serious offense is reported), and additional scoring principles that will decrease the number of offenses reported. For example, agencies are now required to separately report the total number of motor vehicle thefts each month, as a true accounting for this offense will be hampered by the application of the hierarchy rule. The narrowed federal definition of "forcible rape" also negatively impacts previously collected criminal sexual assault statistics, requiring agencies to separately report these offenses on a monthly basis as well.

Reporting guidelines for arrests remained relatively constant, with minor changes that could potentially lower arrest statistics. For arrests, the hierarchy rule is already applied by agencies for multi-offense arrests.

Table 1
I-UCR index offenses

Index group	Crimes			
	Murder	**Criminal sexual assault**	**Robbery**	**Aggravated assault & aggravated battery**
Violent index	First degree murder	Criminal sexual assault	Armed robbery	Aggravated battery
	Second degree murder	Aggravated criminal sexual assault	Robbery	Heinous battery
		Forcible sodomy	Vehicular hijacking	Aggravated battery of child
		Criminal sexual assault with an object	Aggravated vehicular hijacking	Ritual mutilation
		Criminal sexual assault of a child	Aggravated robbery	Aggravated battery of senior citizen
				Aggravated assault
				Attempted first degree murder
				Attempted second degree murder
				Aggravated domestic battery

Index group	Crimes				
	Burglary	**Theft**		**Motor vehicle theft**	**Arson**
Property index	Burglary	Theft from motor vehicle	Burglary from motor vehicle	Motor vehicle theft	Arson
	Residential burglary	Theft of motor vehicle parts	Theft over $300	Attempted motor vehicle theft	Aggravated arson
	Home invasion	Burglary of motor vehicle parts	Theft <=$300		Attempted arson or aggravated arson
		Retail theft	Purse-snatching		
		Delivery container theft	Theft from building		
		Pocket-picking	Theft from coin machine		

Drug index	Cannabis control act	Controlled substances act	Hypodermic needles & syringes act	Drug paraphernalia act
	Possession <= 30 grams	Manufacture or delivery	Possession of hypodermic needle	Sale/delivery of drug paraphernalia
	Possession >30 grams	Possession		
	Delivery <= 30 grams	Look-a-like substance	Failure to keep hypodermic records	Possession of drug equipment
	Delivery >30 grams	Deliver or possess with intent to deliver		
	Casual delivery	Criminal drug conspiracy		
	Delivery to person <18	Licensed operations		
	Plants	Delivery to persons <18		
	Conspiracy	Failure to keep records		
	Intoxicating compounds			

The I-UCR program additionally collects certain "supplemental" case-level crime statistics on domestic-related crimes, attacks against school personnel, and crimes against children. Both the reporting of domestic-related incidents (20 ILCS 2630/5.1) and attacks against school personnel (105 ILCS 5/10-21.7) are mandated by law. The reporting of crimes against children is voluntary. Hate crime case-level crime statistics are also collected as mandated by 20 ILCS 2605-390(a) and the Federal Hate Crime Act.

<u>Potential limitations</u>

The I-UCR program is a valuable resource for providing county- and municipal-level offense and arrest statistics across the state. However, its value is tempered by a few notable limitations. First, all data provided by the I-UCR are aggregated by index offense type. Individual-level data are only available for the supplemental and hate crime offenses enumerated above. Aggregated offense data are useful in some applications, such as providing arrest trends over time or for comparisons across jurisdictions, but detail at the individual level is needed in order to conduct many of the analyses that SPAC is tasked with completing. To illustrate, SPAC is mandated to conduct criminal justice population projections, specifically for IDOC and community supervision populations. In order to conduct an accurate projection of future criminal justice involved individuals, demographic indicators are needed. Such factors as age, race and gender are consistently and strongly correlated with offending and the resulting prison populations and probation caseloads. The current I-UCR program does not capture this level of detail about the crime incident.

A second limitation of I-UCR data is the small number of crimes included. While the eight index offenses offer a way to estimate the prevalence of serious crime, many other crime types of relevance to SPAC are excluded. Serious weapons violations, such as unlawful use of weapon

are not included in the crime index categories, although they account for a large number of cases that move through the criminal justice system and feed into either community corrections or IDOC. Without data on all offenses, the I-UCR is limited in its applicability to criminal justice population projections and analysis of the effects of proposed legislation on current practices.

Finally, the migration to revised reporting guidelines in 2010 will have some impact on observed in reported offenses during the next few years, over and beyond any real increases or decreases in crime trends. That is because the counting rules for multi-offense incidents have changed, along with some of the offense categories. Local agencies will be fully implementing these changes during the same time that SPAC staff will be conducting analyses of crime trends and various correctional population projections.

Criminal History Records Information (CHRI) Arrest Records
Level of Measurement: Individual level

The primary source of state-wide individual-level arrest information is the Criminal History Record Information (CHRI) database, or the state central repository maintained by the Illinois State Police (ISP). These data are distinct from the I-UCR data in that they are the actual electronic criminal history records (or rap sheets) for arrested individuals in Illinois. The Authority, in cooperation with ISP, has established an in-house computer linkage to most of the data elements in the CHRI system's back-up database for research purposes. These include demographics of arrestees, arrest charge information, associated court disposition information, and sentencing information. Illinois' system continues to be one of the largest in the country, with over 1.5 million submissions per year, and taken as a whole, offers the only statewide view to the major criminal justice decision points.

The electronic CHRI rap sheet information housed in the state repository maintained by ISP includes arrestee demographics, arrest charges, state's attorney filing decisions, final court proceedings, and county and state correctional admissions. During arrest booking procedures, the arresting agency completes an arrest fingerprint card on the suspect, which is submitted to the ISP for processing and inclusion on the individual's criminal history record. For adults, fingerprint cards are required to be submitted for any alleged offense that is a felony or a Class A or Class B misdemeanor, aggravated fleeing or eluding police [*625 ILCS 4/ 11.204.1], or* driving under the influence of alcohol or drugs [625 ILCS *5/ 11-501*], in addition to conservation offenses as specified in the Criminal Identification Act [*20 ILCS 2630/5*]. In practice, however, many other quasi-criminal arrests (local ordinances, traffic violations) are submitted, along with warrants for failure to appear in court and other situations in which an offender is detained and booked, such as pre-trial transfers to a different county jail facility. These non-mandated arrest submissions create data quality issues that create difficulties in properly interpreting CHRI data. Some of these issues are discussed in the Limitations Section below.

The annual volume of adult arrests submitted to the state's CHRI system reached slightly over 500,000 mid-decade, but has been in decline over the last three years. Some of the previous rise was due to the adoption of electronic arrest reporting by most of the large municipalities in Illinois. This technology makes it easier to successfully send and process this information than the manual "ink and roll" fingerprint cards previously used. However, this ease of transmission

also produced an increase in the submission of arrest events not mandated to be reported, such as the local ordinance violations, traffic violations, and warrants mentioned previously, at least in the early years of the series (Figure 1). That is because the automated drop-down menus incorporated into this new technology made it easier for local arresting officers to have the statute citations for non-mandated offenses at their disposal.

Figure 1 depicts the types of arrests submitted into the CHRI system over the past 10 years. As can be seen, Class A misdemeanor arrests clearly outnumber those for any other class type each year. However, the yearly volume of non-mandatory arrests continued to increase during the past decade, peaking in 2007. Arrests with charges reported with the unknown code of "z" declined by 20 percent from 2001 to 2009, although the volume of those arrests in CHRI remains above 65,000 each year. When conducting sentencing policy analysis or corrections population projections, these non-mandatory and code "z" arrests should be eliminated for more accurate results.

Figure 1

Number of Adult Arrests in CHRI by Class, 2000-2009
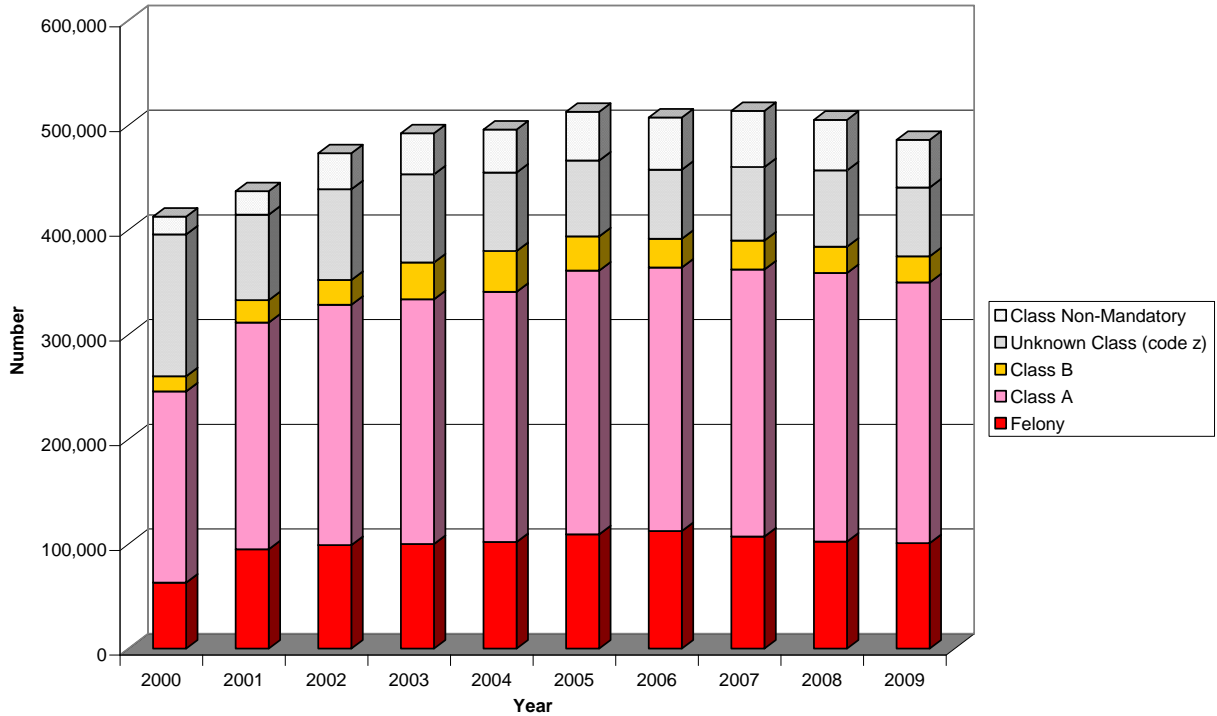
Certain data elements are required by ISP on all arrest fingerprint cards in order to successfully process the information. Other optional fields provide useful information on the offender, but are not universally completed, as they may not be known to officers at the time of the arrest booking. Required data elements for arrest card submissions are presented in Table 2.

Table 2
Required data fields in CHRI

Data element	Description
Document control number (DCN)	Unique number assigned to the arrest fingerprint card and the subsequent state's attorney and court dispositions. Used to link all events within an arrest incident.
Last name	The last name of the arrestee provided by the individual. Aliases are not verified
Date of birth	Date of birth provided by the individual. Dates of birth are not verified.
Place of Birth	Must be a valid country code.

Sex	The reported sex of the individual
Race	The reported race of the individual: White, Black, Asian/Pacific Islander, American Indian/Alaskan. Does not include ethnicity (Hispanic, etc.)
Arrest date	The date of the arrest, which can differ from the date the offense was committed.
Originating record identifier (ORI)	Identifies the agency that submitted the information to ISP (arresting agency, state's attorney, circuit court clerk). In the case of electronic central booking facilities operated by the sheriff within a county, the number may reflect the sheriff's equipment rather than the actual arresting agency.
Number of charges	Each charge filed within an arrest incident.
Inchoate	Whether the offense was attempted or not (inchoate). Also includes indicators for conspiracy, solicitation, and drug conspiracy
Statute	The ILCS statute citation of each charge.
Offense class	The class of the offense. Missing or unknown class information is assigned a code of "Z".
Domestic violence	Indicates if the offense was related to domestic violence.

Potential limitations

While the CHRI system provides important detailed information about arrests, it is not without limitations. First, CHRI data contains only those arrests posted into the State Police repository via an arrest fingerprint card. At times, fingerprints may not be accepted due to data quality issues or equipment failures. In other instances, suspects might not be fingerprinted ahead of a court case, as in the case of a summons to appear. In general, the advent of electronic reporting technology, such as the live scan fingerprint submission system, has led to significant increases in the total volume of arrests reported to ISP since the year 2000 (see Figure 1). Caution must be used when comparing current data to earlier years. Apparent changes in yearly arrest trends might be the result of increased (or decreased) fingerprint submissions for those arrested, and not actual crime or arrest trends.

The advent of electronic fingerprint submissions during the last decade created a problem that non-mandated (for submission to CHRI) arrests began to be submitted in increased numbers, particularly for local ordinances, traffic offenses and bond forfeiture warrants (Figure 1). These do not necessarily result in a criminal court case, although their presence in CHRI creates an expectation that a court decision on the case should follow. As can be seen in Figure 2 (see Courts Dispositions Section, below), these non-mandated (for submission to CHRI) arrests rarely have court disposition information. In terms of conducting accurate sentencing policy analysis or criminal justice population projects, these non-mandated arrests should be eliminated before analysis begins.

The mandatory arrest card data fields (Table 2) are those most likely to contain useable data for analysis. However, those fields have an unexpectedly high number of cases where the "unknown" code was used. This is particularly problematic for sentencing analysis when the

class of offense is listed as "unknown", since it cannot always be determined if the arrest event should be counted as a misdemeanor or felony. In order to post as many arrests as possible on the CHRI system, ISP allowed local agencies to use the code 'z" to indicate instances where the class of offense was not known at the time the arrest was submitted to the CHRI system. Although the code of "z" is accepted by the programming software within the CHRI database as a means to eliminate the rejection of several thousand arrest transactions each year, "z" is not a valid classification of offense and is not listed in the Illinois Compiled Statutes. For example, the "z" code is often seen used with theft charges (where it has not yet been determined whether the value of the item stolen or the suspect's prior convictions raised the threshold of the charge to a felony rather than misdemeanor), and for drug charges, where the substance or amount involved had not yet been determined by lab results. The State Police have made concerted efforts in recent years to eliminate the unnecessary use of code "z", in order to reduce interpretation problems. Figure 1 indicates that, while still high, the number reached historic lows in 2009 (where just over 65,000 arrests had only code "z" charges, compared to 135,000 in the year 2000).

It should also be remembered that the CHRI system is a live database and, therefore, the information can be updated or changed by ISP at any time. Individuals' criminal history records may be sealed or expunged through a court order, modified through the record challenge process and will become unavailable for future analysis, or court dispositions may be added to older arrests though additional ISP research.

While these caveats must be taken into consideration when exploring the use of CHRI for SPAC purposes, CHRI is the most data-rich source for arrest information statewide.

State's Attorney Charges

There are two pre-trial data sources available on a statewide level: the State's Attorney filing decisions submitted to CHRI, and county jail population data from IDOC's Jail and Detention Standards Unit. Although information on pre-trial diversion may be collected, the Administrative Office of the Illinois Courts does not make it available in their annual reports.

Criminal History Records Information (CHRI) State's Attorney charging decisions
Level of Measurement: Individual level

State's attorney filing decisions are the next set of information to be submitted to CHRI once an arrest is initiated. According to the Criminal Identification Act, state's attorneys are mandated to submit all charging information, including the decision not to file charges, within 30 days of the decision.

While the majority of counties submit state's attorney filing information on manual forms, 85 percent of the actual filing decisions present in the CHRI system for those arrests made in 2009 are a replica of the arrest charge with a "direct file" decision made at the state's attorney level. It should be noted that a very large percentage of these "direct file" decisions are reported from Cook County (79%). Since 1987, ISP has allowed state's attorneys offices to enter into an

agreement by which they certify that the police in their county "directly file" their cases in court, obviating the need to submit state's attorney charges. While this may be true for the majority of cases, allowing state's attorneys to opt out of reporting to CHRI means that very few subsequent prosecutorial decisions to drop, add or modify charges will be reflected in CHRI. With so few of the largest states' attorney's offices actually submitting their own information to the state repository, the utility of using this data source for studying charging decisions can be questioned.

As with the arrest portion of CHRI, the state's attorney's reporting form has certain mandatory fields which are required for successful posting to the system. For those counties that have permission to use the "direct file" option, this information is automatically duplicated from the arrest information as it is received from the arresting agency, without any initiating action required by the state's attorney. A list of the mandatory fields for state's attorney charging information is included in Table 3.

Table 3
Required data fields in State's Attorney charging files

Data element	Description
Document control number	Unique number assigned to the arrest incident and used to link it with State's Attorney information.
Decision date	The date of the State's Attorney's filing decision.
Organization identification number	The number of the State's Attorney's Office that submitted the charge information to ISP.
Number of charges	Each charge filed within an incident.
Inchoate	Whether the offense was attempted or not (inchoate). Also includes indicators for conspiracy, solicitation, and drug conspiracy
Statute	The ILCS statute citation of each charge filed.
Offense class	The class of the offense filed.
Disposition code	Indicator related to filing decision (direct filed, filed, not filed, added or modified).

Potential limitations

The single greatest limitation of using CHRI data to study state's attorney filing decisions is that a vast majority of the submissions are actually just duplicates of the arrest information, due to the use of the "direct file" reporting practice. In such cases, the filing decision date is populated with the original date of arrest. Also, this replication is done automatically for all arrests submitted from the county, including the quasi-criminal charges (such as local ordinances, traffic offenses, etc.) where a criminal court case may not be reported to the ISP central repository. However, the presence of state's attorney charges for those arrests raises the expectation that court charges will soon follow. As previously discussed, (Figure 2) the volume of these types of arrests submitted each year is not trivial, thus creating a large volume of "phantom" state's attorney charges in the CHRI database. Researchers should not assume that the presence of state's attorney information

in CHRI means that a court case actually exists for that event when the filing decision code is "direct file".

A second limitation of CHRI information for the study regarding state's attorney filing decisions is that only <u>final</u> charging decisions are mandated to be reported. Information on other decisions that occur during the court case, such as bond hearings, whether the case was initiated by grand jury indictment or information, and defendant circumstances made known to the judge at the time of sentencing, are not captured in the CHRI system. To the extent that such information is relevant to sentencing policy and practice, it would have to be gathered from individual state's attorney's office management information systems or paper case files.

Court Dispositions and Sentences

Level of Measurement: Individual level

The Automated Disposition Reporting (ADR) program was developed by AOIC to enable county circuit court clerks to compile and transmit their case disposition information electronically to the various state repositories to which they are mandated to report. Beginning with the creation of a disposition input (magnetic tape, diskette, or modem transfer) by the circuit clerk's automated system, this information is transmitted to AOIC where it is processed and forwarded on to any of four state repositories: ISP Bureau of Identification (CHRI); ISP Traffic (TIPS); Secretary of State (SOS) Drivers Services Division, or SOS Mandatory Insurance Division. An ADR input consists of both new and "corrected" court dispositions. New dispositions are those that are being submitted for the first time, while corrected dispositions are records that were returned by the central repository's error checking process in order to be resubmitted with the correct information.

While most counties now report court dispositions using ADR, some of the largest, including Cook and Du Page, have developed their own automated court disposition reporting systems. The purpose of all of these systems is to submit required final court information to CHRI in an automated fashion. Once received by the State Police, this information is matched back to the arrest (and state's attorney) segments of the incident, to create a complete transcript of the event.

The court disposition data elements required by the State Police are described in Table 4.

Table 4
Required data fields in court disposition files

Data element	Description
Document control number	Unique number assigned to the arrest incident and used to link it with court disposition information.
Disposition date	The date of the court's disposition decision.
Organization identification number	The identification number of the circuit court clerk that submitted the charge information to ISP.
Number of charges	Each charge filed within an incident.
Inchoate	Whether the offense was attempted or not (inchoate). Also includes indicators for conspiracy, solicitation, and drug conspiracy
Statute	The ILCS statute citation of each charge at disposition.
Offense class	The class of the court charge.
Disposition code	Code value assigned to each disposition (guilty, not guilty, dismissed, nolle prosequi, etc.).
Court case number	Court case number associated with the given case being disposed.

Potential limitations

Criminal history records are designed to provide information on individuals' involvement with the criminal justice system, including the outcome of each arrest incident. However, audits conducted by the Authority since 1983 have documented the problem of missing court dispositions in CHRI. As can be seen from Figure 2, the extent of the problem depends on the class of the conviction charges. For some classes of arrests, such as felonies and class B misdemeanors, over 80 percent of arrests each year do have associated court outcome information. Conversely, court disposition information on arrest types not mandated to be reported are rarely found in CHRI, mainly due to the fact that these arrests typically do not result in a criminal court case (as in the case of local ordinance violations, most traffic cases, and so on). Recent arrests should be expected to be missing more court information in CHRI than earlier years, since the resulting court cases may still be pending. Missing court disposition information will obviously hamper research on sentencing policy and practice, as it is not possible to determine the number of court cases resulting in a conviction.,

Figure 2

Percent Adult CHRI Court Dispositions Found by Class of Offense, 2000-2009
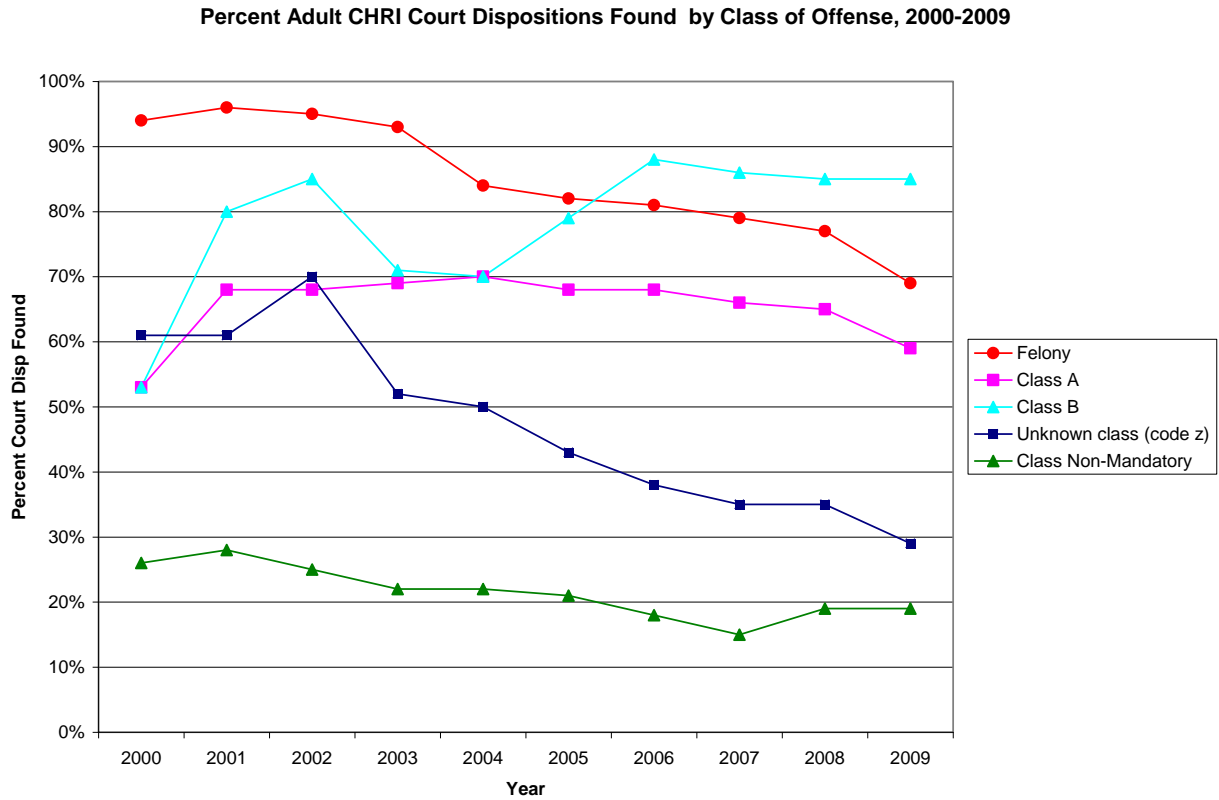
Criminal History Records Information (CHRI) Sentencing information
Level of Measurement: Individual level

After a case has received a guilty disposition, sentencing information should follow. This information is part of the court disposition information submitted to the State Police by circuit court clerks, within 30 days of sentencing. This includes information related to the type and sentence length and any fines or court costs to be paid by the sentenced individual. Table 5 describes the data elements available in these sentencing files.

Table 5
Data fields in CHRI sentence files

Data element	Description
Case identifier	A unique identifier used to match a sentence with a disposition. Not able to be used to match sentences with individual charges.
Sentence information	Includes both a sentence code and a literal description of the sentence. Possible values include IDOC, jail, probation/supervision, fines, restitution, and conditional discharge. Also included is whether the sentence is concurrent, consecutive, suspended, stayed, or waived.
Sentence date	Date of sentence.
Sentence length	Includes information on length in years, length in months, length in days, and length in hours.
Fine/Restitution amount	The dollar amount of fines or restitution ordered at sentencing.

Potential limitations

Sentencing information is tied to the court disposition, such that both will be lost if it is not submitted to the State Police, or if it cannot be linked to the original arrest event. In general, it must be remembered that the *individual* is sentenced, no matter how many charges may have been involved. On the other hand, multiple *sentences* may be appended to the same charge in CHRI, as in the case where jail time is credited, plus a probation term, plus a fine or court costs to be paid. These sentences may be appended to only one charge, or all in the court event. The specific charge for which the person was sentenced, if many are present in the final court disposition is often indeterminable in the CHRI data.

Illinois State Police "wish list" for improvements to the CHRI system to enhance analysis of Illinois sentencing policies

The state central repository for criminal history record information, the CHRI system maintained by the State Police is a rich source of data on sentences imposed, since those decisions can be observed in the context of the individual's prior criminal record. In addition, all law enforcement agencies, state's attorney's office, circuit court clerks and custodial institutions are mandated by law to contribute information. This creates a complete picture of the final decisions made in a criminal history event. However, like all state criminal history systems in states as large and diverse as Illinois, there are challenges in the receipt, processing, and dissemination of such large volumes of complex data.

General Data Issues

To the extent that these issues cause crucial data to be missing in the CHRI system, they lessen the value of CHRI data for sentencing analysis purposes. These issues include:

- Non-reporting of events by local agencies as required by law
- Errors in the reporting of mandatory data elements that obstruct data linking or processing by the CHRI system
- Inability of some jurisdictions to afford electronic submission equipment, such as live scan, which can greatly improve the quality and timeliness of their submissions
- Inability of ISP to have two-way exchanges with data submitters, since current technology has been set up to proceed in one direction only - from the local agency to ISP
- An aging CHRI system infrastructure

Suggested "wish list" solutions

The following are solutions provided by the State Police to address the issues listed above:

- Increase State Police capacity to provide CHRI training to all criminal justice entities throughout the state on an annual basis
- Increase State Police capacity to conduct CHRI audits of local agencies, or modify the Illinois Criminal Justice Information Act (20 ILCS 3930) to allow the ICJIA to assist in these local audits.
- Increase local funding for electronic means of submitting required CHRI information, including live scan equipment and development of electronic submission methods for State's Attorneys Offices.
- Continue to work with circuit court clerks to create ways in which ISP can retrieve missing court information directly from the court's Management Information Systems (this is currently being done in Cook County)
- Secure funding for replacement of current aging infrastructure systems, including the Automated Fingerprint Identification System (AFIS), the CHRI system, and the current Law Enforcement Agency Data System (LEADS).

Administrative Office of the Illinois Courts Data Sets

State's Attorney filings

Annual reports of the Administrative Offices of the Illinois Courts: Felony filings
Level of Measurement: Judicial circuit / county level

Aside from the State's Attorney charging decision information available from CHRI, aggregate data on filed criminal charges are also available from the AOIC annual statistical reports. These tables outline the number of new felony and misdemeanor filings, the number of cases reinstated, the number of charges disposed of, and the number of cases with an "end pending" designation, meaning that the case was filed in a previous calendar year and is not yet closed. This information is categorized by judicial circuit, and further broken down by the counties in that particular circuit. Since these numbers are reported to AOIC by clerks of the circuit court in each of the individual counties, filing data are a potential check on the State's Attorney charges portion of the CHRI information. These reports are useful for examining State's Attorney activity at the county level, and could be useful for criminal justice population projections. The filing information can be used to assist in determining community corrections populations, institutional corrections populations, and the caseload volume of different counties. Table 6 describes the different data elements available in the AOIC annual statistical reports regarding felony filings.

Table 6
Data elements related to criminal filings reported in *Annual Report of the Illinois Courts*

Data element	Description
New Filed	Number of criminal charges filed in the calendar year. Includes categories for felony and misdemeanor filings, judicial circuit, and county.
Reinstated	Number of filings reinstated in the calendar year, after being removed from the court calendar. Includes categories for felony and misdemeanor filings, judicial circuit, and county.
Disposed of	Number of cases with charges dropped, or otherwise disposed of. Includes categories for felony and misdemeanor filings, judicial circuit, and county.
End pending	Number of filings from previous calendar year(s) that are still active. Includes categories for felony and misdemeanor filings, judicial circuit, and county.

Court activity (trial, sentencing, and disposition)

Annual reports of the Administrative Offices of the Illinois Courts: Court activity
Level of Measurement: Judicial circuit / county level

Each year, the AOIC prepares an annual report presenting aggregate level information for each county's court system activities. These data come from reports submitted to AOIC by circuit court clerks and circuit court probation departments. There are various data elements related to caseload, case flow, court activities, and case outcomes that are compiled in these reports for criminal, civil, and law cases. Table 7 provides a summary of the data elements related to criminal court activity reported in the annual reports.

Table 7
Data elements related to criminal court activity reported in *Annual Report of the Illinois Courts*

Data element	Description
Caseload summaries of the circuit courts	Number of new cases filed, reinstated, disposed, and pending at the end of the calendar year
Case filing ratios of judges and populations	Number of cases filed per 1,000 people in the circuit and per judge.
Criminal, traffic, conservation and ordinance caseload statistics by county and circuit	Number of new filed, reinstated, disposed, and pending cases for the following: criminal felony, criminal misdemeanor, DUI, traffic, conservation, and ordinance cases.
Juvenile and adult probation caseload statistics	Number of new filed, reinstated, disposed, and pending cases for the following: abuse and neglect, delinquency, and other.
Felony dispositions and sentences by county and circuit	Includes the number of defendants, convicted, type of convictions (pleas, by court, and by jury), not guilty findings by type, remaining cases, sentences (death, imprisonment, probation, and other).
Adult investigation reports by county and circuit	Number of investigation reports: PSI, abbreviated PSI, pretrial bond, record check, and other reports.
Juvenile investigations by county and circuit	Number of investigation reports: social histories, supplemental social histories, intake screenings, and other investigations.
Juvenile petitions continued under supervision by county and circuit	Number of petitions continued under supervision by petition type: delinquency, addiction, MRAI, and truancy.
Juvenile adjudications by county and circuit	Number of adjudications by type: delinquency, addiction, MRAI, and truancy.
Juvenile placements by county and circuit	Number of juvenile placements in the calendar year by in-state or out-of-state by placement type: foster home, group home, residential treatment, with relative.
Caseload summary by district appellate court of Illinois	Number of cases: pending, filed, reinstated, disposed, disposed by majority opinion, by rule 23 order, by summary order, and without opinion.
Case dispositions by district appellate court of Illinois	Number of cases by method of disposition: affirmed, reversed, affirmed or reversed in part, reversed and remanded, modified, vacated or remanded, dismissed, disposed of without an opinion.

<u>Potential limitations</u>

The information in these reports provide a great amount of aggregate court statistics for the state of Illinois and are an invaluable resource for the work of SPAC. However, one limitation for the usage of these data for SPAC purposes is that these data do not contain demographic indicators. Additionally, as they are reported in aggregate, it is not possible to track unique individuals through the court system which may limit or constrain certain impact analyses and population projections.

Court dispositions and sentence information reported via ADR
Level of Measurement: Individual level

Automated Disposition Reporting (ADR) is the program developed by AOIC to enable 84 of the 102 county circuit court clerks to compile and transmit their case disposition information electronically to the various state repositories, including ISP Bureau of Identification (CHRI); ISP Division of State Troopers; SOS Drivers Services Division; or SOS Mandatory Insurance Division. An ADR input consists of both new court dispositions submitted for the first time, and corrected dispositions that were initially rejected by the central repository's error checking process.

While most counties now report court dispositions using ADR, some of the largest, including Cook and Du Page, are exempt from reporting to AOIC and have their own automated court disposition reporting systems; they report directly to the various receiving entities. One purpose of all of these systems is to submit required final court information to CHRI in an automated fashion. Once received by the State Police, this information is matched back to the arrest (and state's attorney) segments of the incident, to create a complete transcript of the event. Court disposition and accompanying sentence information data fields and potential limitations for sentencing policy analysis have been previously discussed under the State Police CHRI system section.

Probation Activity
Annual reports from AOIC
Level of Measurement: Judicial circuit / county level

In addition to the wealth of caseload statistics compiled by AOIC from submissions from court clerks, probation managers also submit aggregate data concerning probation and court services. These data are provided at the county and circuit level annually in the reports generated by the AOIC. Table 8 presents the data elements related to probation and community supervision that are collected by the AOIC annually.

Table 8
Data elements related to community supervision in AOIC annual reports

Data element	Description
Active adult probation caseload by county and circuit	Includes number of open cases on December 31 of the calendar year for: felonies, misdemeanors, DUI, traffic, and administrative cases.
Adult investigation reports by county and circuit	Number of investigation reports: PSI, abbreviated PSI, pretrial bond, record check, and other reports.
Adult probation programs ordered by county and circuit	Number of programs ordered: alcohol, drug, alcohol and drug, mental health, sex offender, and TASC.
Active juvenile caseload by county and circuit	Number of open juvenile supervision caseloads on December 31 of the calendar year for: probation, supervision, CUS, informal probation, other supervision, and administrative cases.
Juvenile investigations by county and circuit	Number of investigation reports: social histories, supplemental social histories, intake screenings, and other investigations.
Juvenile petitions continued under supervision by county and circuit	Number of petitions continued under supervision by petition type: delinquency, addiction, MRAI, and truancy.
Juvenile placements by county and circuit	Number of juvenile placements in the calendar year by in-state or out-of-state by placement type: foster home, group home, residential treatment, with relative.

Potential limitations

As previously discussed, AOIC reports these data in aggregate, meaning that no additional information, particularly demographic and offense specific information, is available through the Annual Report. This poses limitations for determining the impact of specific policies due to the fact that the actual offenses for which individuals are serving probation and community supervision sentences cannot be determined.

Administrative Office of the Illinois Courts "wish list" for improvements to court data systems to enhance analysis of Illinois sentencing policies

The case-level data on court activity, dispositions, and sentences imposed that are derived from the ADR program provide a good amount of detail from circuit court clerks that is potentially useful to SPAC in understanding sentencing practices in most Illinois court jurisdictions. The aggregate data on court activity and probation caseloads derived from AOIC annual reports is less useful. Eighty-four of the 102 counties submit their court data electronically through the ADR program, however the 18 non-ADR counties include Cook and DuPage, which together comprise approximately 44 percent of statewide court activity; the 18 counties overall comprise approximately 50 percent of the state total.

The AOIC has developed the specifications and data conversion strategies for a case-level probationer data system called POLARIS (Probation On-Line Automated Reporting Information System), but as thus far lacked the funding for implementation. There is further discussion of this issue in the final report section on proposed data collection strategies.

A standardized Pre-Sentence Investigation (PSI) report would potentially provide SPAC with access to a wide range of information that encompasses, by definition, each of the salient factors utilized by judges, in making sentencing decisions. AOIC has recently developed such a form, and is now planning a training and implementation plan.

General Data Issues

Non-uniformity in the reporting of court activity, dispositions, and sentences across court jurisdictions results in incompleteness of case-level ADR court files, which lessens its value for sentencing analysis purposes. Specifically:

- Lack of participation in the ADR program by Cook, DuPage and 16 other counties implies that access to statewide sentencing data by SPAC would necessitate separate acquisition strategies from those counties.

- Statewide aggregate court statistics available from AOIC annual reports is insufficient for purposes of analyzing and understanding Illinois sentencing practices.

- Statewide aggregate data pertaining to probation caseloads is insufficient for purposes of analyzing and understanding for Illinois sentencing practices.

- There is no mechanism currently in place to capture case-level probationer data.

- There is no mechanism currently in place to capture standardized Pre-Sentence Investigation (PSI) report data across the state.

Suggested "wish list" solutions

The following are solutions provided by AOIC officials to address the issues listed above:

- Roll-out a standardized presentence investigation report and finalize the training and implementation plan.

- Complete work on Judicial Branch Portal to expand the scope of information exchanges that can be performed on this platform. The Portal is currently used to accommodate judicial training sign-up and course selection, but is now being expanded to accommodate the POLARIS application, and could potentially facilitate enhanced reporting of court activity between circuit court clerks and the AOIC.

Illinois Department of Corrections Data Sets/Jail Data (Pretrial and Sentenced)

County jail pre-trial population files
Level of Measurement: County level

County jails in Illinois overwhelmingly house pre-trial detainees rather than sentenced individuals. In SFY2009, 87 percent of county jail detainees in Illinois were being held awaiting trial. Some of these individuals will be convicted and subsequently sentenced to serve time in IDOC facilities or community corrections. Therefore, it is useful to have an idea of the trends in the numbers of individuals held pretrial, as increases and decreases in those populations may signal changes in post-conviction incarceration trends as well.

The Jail and Detention Standards Unit of IDOC is responsible for ensuring that county jails and juvenile detention centers comply with statutory standards, through periodic inspections.

Illinois statutes do not require that yearly site inspections be conducted; however, state mental health laws mandate annual reviews of the sites, so the full inspections are conducted in the interests of saving resources. By statute, counties are required to submit daily population counts on a monthly basis and municipalities are required to submit daily population counts on a quarterly basis. The data are not provided as case-level information and are delivered in both hard-copy and electronic formats.

The data that are gathered reflect multiple aspects of county jail populations, which can be useful in projecting prison and community corrections populations. Table 9 presents a description of the data that are made available to the Authority regarding jail populations.

Table 9
Jail Population Data Elements

Data element	Description
Rate capacity	The maximum number of individuals a jail is rated to house
Average daily population	The average number of detainees on a given day. These numbers include adults, juveniles, males and females.
Number of bookings	The actual number of admissions into a county jail per month. These numbers include adults, juveniles, males and females.
Number of regular sentences	The number of new sentences per month. The total number of regular sentenced days per month. These numbers include adults, juveniles, males and females.
Number of work release sentences	The number of new sentences per month. The total number of days sentenced to work release per month. These numbers include adults, juveniles, males and females.

Number of weekend sentences	The number of new sentences per month. The total number of days sentenced to weekends per month. These numbers include adults, juveniles, males and females.
Total number of bookings	Total number of detainees per month. These numbers include adults, juveniles, males and females.
Total number of non sentenced days per month	These numbers include adults, juveniles, males, and females.
Total number of new sentences per month	These numbers include adults, juveniles, males, and females.
Total number of regular sentenced days per month	These numbers include adults, juveniles, males, and females
Total number of work release new sentenced per month	These numbers include adults, juveniles, males, and females
Total number of days sentenced to work release per month	These numbers include adults, juveniles, males, and females
Total number of weekend new sentenced per month	These numbers include adults, juveniles, males, and females
Total number of days sentenced to weekends per month	These numbers include adults, juveniles, males, and females
Total number of days served per month	These numbers include adults, juveniles, males, and females

Potential limitations

One of the biggest limitations of the county jail datasets for sentencing policy research is that they contain only aggregated monthly numbers for each county, not individual records. It is possible to analyze trends over time by gender and reason for detention (pretrial, serving sentence), but there is no holding charge information or reasons for release (posted bail, case dismissed, sent to IDOC post-conviction, etc.).

At least eleven of the smaller rural counties in Illinois either do not operate their own jail facilities or share jail facilities with multiple counties. While the numbers may be small, there is no way to separate the populations from the individual counties involved in jail-sharing or those who contract with other jurisdictions to house their detainees. For example, Tri-county Jail data include combined populations from Alexander, Pulaski, and Union Counties. Although these are smaller jurisdictions and will likely contribute smaller populations, it would still be impossible using these data to determine which county sent which populations to the facility.

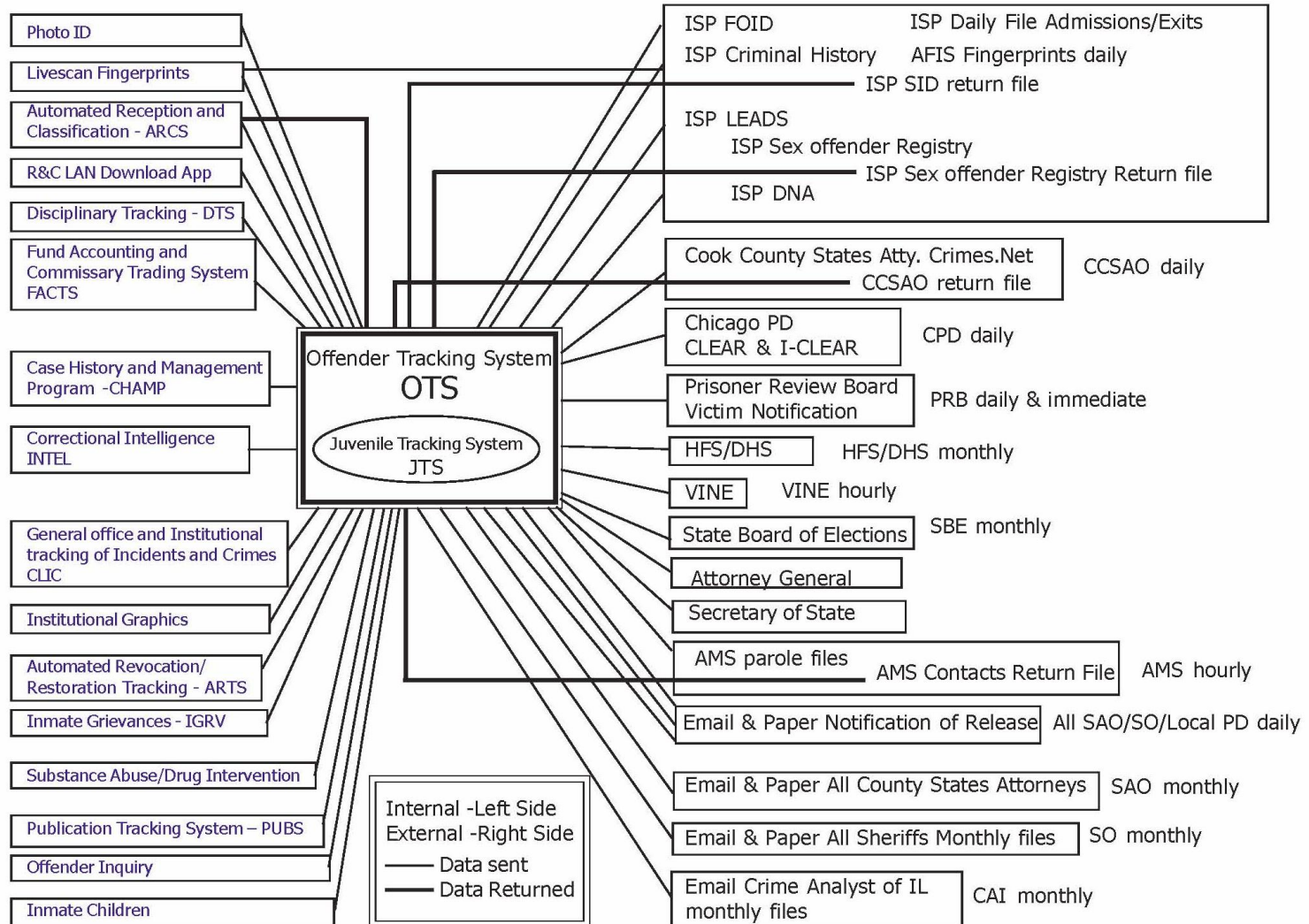# Illinois Department of Corrections Data Sets/ Prison Data

Illinois Department of Corrections Management Information System

The Illinois Department of Corrections utilizes a management information system as an umbrella for numerous data systems. These include (among others):

- Offender Tracking System (OTS), utilized by correctional facility, parole, and administrative staff, primarily monitors inmate movements and characteristics.
- Automated Reception and Classification System (ARCS) records preliminary information collected as inmates enter the correctional system utilized to identify imminent treatment and placement needs.
- Disciplinary Tracking System (DTS) was fully implemented in 2001 system-wide to record disciplinary infractions.
- Automated Management System (AMS) is used by parole and administrative staff to track community supervision activity including monitoring reports, offender locations, and warrants.
- Case History and Management Program (CHAMP) is used by program services and administrative staff to document face-to-face contacts and progress related to mental and physical health, counseling and treatment, and program participation.
- Automated Revocation/restoration Tracking System (ARTS) records the application of good conduct credits.

Each system shares information with the other and they also share information with outside systems and entities. Figure 3 depicts the data sharing system and flow of information for IDOC's data systems. Note that the data systems are not entirely integrated, so even though the systems are somewhat linked, data entered into one system cannot be retrieved while working in another. Data downloads from separate systems can be matched case-by-case and merged in an automated format because the inmate identification number is a unique identifier. However, that can require substantive human and monetary resource utilization depending on the nature of projects or tasks.

Figure 3
Information system sharing and flow

Photo ID
Livescan Fingerprints
Automated Reception and Classification - ARCS
R&C LAN Download App
Disciplinary Tracking - DTS
Fund Accounting and Commissary Trading System FACTS
Case History and Management Program -CHAMP
Correctional Intelligence INTEL
General office and Institutional tracking of Incidents and Crimes CLIC
Institutional Graphics
Automated Revocation/ Restoration Tracking - ARTS
Inmate Grievances - IGRV
Substance Abuse/Drug Intervention
Publication Tracking System – PUBS
Offender Inquiry
Inmate Children

Offender Tracking System
OTS
Juvenile Tracking System
JTS

ISP FOID   ISP Daily File Admissions/Exits
ISP Criminal History   AFIS Fingerprints daily
ISP SID return file
ISP LEADS
ISP Sex offender Registry
ISP Sex offender Registry Return file
ISP DNA

Cook County States Atty. Crimes.Net   CCSAO daily
CCSAO return file

Chicago PD CLEAR & I-CLEAR   CPD daily

Prisoner Review Board Victim Notification   PRB daily & immediate

HFS/DHS   HFS/DHS monthly

VINE   VINE hourly

State Board of Elections   SBE monthly

Attorney General

Secretary of State

AMS parole files
AMS Contacts Return File   AMS hourly

Email & Paper Notification of Release   All SAO/SO/Local PD daily

Email & Paper All County States Attorneys   SAO monthly

Email & Paper All Sheriffs Monthly files   SO monthly

Email Crime Analyst of IL monthly files   CAI monthly

Internal -Left Side
External -Right Side

—— Data sent
━━ Data Returned

Source: Illinois Department of Corrections

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Offender Tracking System data (Institution Admissions/Exits, Parole Admissions/Exits)

Data are physically entered into Offender Tracking System (OTS) by Department staff continuously, as the database is "live" or in real-time. Primarily, this is due to the database being developed to monitor movements of inmates through prison and parole. Although OTS was not developed to track offender characteristics, sentencing information, good conduct credits, or program services participation and treatment, there are elements within the data base that target that information. This allows for aggregate data analysis that is somewhat limited largely due to space and data retrieval issues since OTS' implementation in 1989 means that the technology is now dated.

Department staff enters relevant data as an inmate moves through the reception and classification process, and then is placed at a correctional facility and transferred to several locations during the course of incarceration. Data are not "dumped" into OTS through automated efforts from any other governmental entity (county, courts, law enforcement, etc.), so all data entry is manual. The data entry process continues with release to Mandatory Supervised Release (MSR)/parole until the offender is discharged from custody.

The offender's mittimus is reviewed just after admission to allow IDOC staff to conduct a sentence calculation and determine a projected release date based on the holding offense (i.e., the sentence that will keep the inmate in prison the longest) and estimated good conduct credits. There are a number of statutory good conduct provisions that allow for variable applications, and the inmate's estimated time to serve will change frequently. Department staff must account for day-for-day good conduct credit which may be revoked and restored incrementally dependent on: a) institutional adjustment; b) three forms of truth-in-sentencing (100 percent, 85 percent, and 75 percent); c) meritorious and supplemental meritorious good conduct credit (maximum of 180 days applied and dependent on conviction offense(s)); d) earned good conduct credit for participation in educational, vocational, substance abuse, and Illinois Correctional Industries services (half-day credit for each day of participation); and e) successful General Educational Development attainment credit while incarcerated (60 days) or while on MSR (90 days).

Information from the mittimus and LEADS are the primary mechanisms used to assign inmates to correctional facilities as the initial classification scoring items are heavily influenced by the seriousness and sentence length of the instant offense, along with prior criminal history. IDOC officials estimate that approximately 10 percent of inmates have a Pre-Sentence Investigation report included with documents delivered by the commitment county. Information from the PSI may also be utilized for classification processes. Finally, the Statement of Facts, which details the events of the crime committed, may be included as well.

Summarily, the conviction charge(s) and associated sentence length(s) denoted on the mittimus are captured through automated information systems after manual data entry by Department staff, but little additional information is provided regarding the circumstances surrounding imposition of the sentence. The mittimus is not in a standardized format utilized state-wide, and contains no information about prior court dispositions. Sentence calculations are made manually and repeatedly during the offender's incarceration and potential return to prison. Therefore, data

regarding the length of stay per offender, sentence, and sentence type is best aggregated at exit from prison.

OTS Admission files
Level of Measurement: Individual level

Data elements available to the Authority in standard annual pulls from OTS relates to information about inmates when they are admitted into IDOC facilities. Table 10 outlines these data elements. Data regarding historical prison admissions have been reliably captured since SFY 1989. The data files encompass about one-tenth of all information contained in OTS, and are mostly close-ended coded items. Finally, each individual record represents an admission, so an offender may be in a data file multiple times if he or she is a repeat offender, but would be distinguished according to different admission dates.

Table 10
Data elements in standard OTS admission files

Data element	Description
IDOC number	Unique alphanumeric number assigned to inmates.
Name	The full name of the inmate.
Date of birth	The date of birth of the inmate.
Demographic information	The race, ethnicity, and gender of the inmate.
Current admission date	The date of admission into IDOC for the current offense.
Admission type	The type of admission (Direct from Court, alleged MSR violator, admit from other custody, alleged parole violator, alleged work release violator, bond violator, conditional release new sentence, conditional release violator, discharged and recommitted, escape return)
Reception center	The R&C facility the inmate to which is admitted.
Security level	The security level the inmate is assigned.
Security level effective date	The date the security level of the inmate is effective.
Escape risk	The escape risk level of the inmate.
Holding offense class	The class of the "holding" offense for which the inmate will serve the longest sentence.
Current offense information ("holding offense")	The holding offense for which the inmate is admitted. Also available grouped by offense type (person, property, sex, drug, DUI, other) and violent or non-violent. AOIC code of the offense, whether the offense was attempted or not (inchoate)
Minimum and maximum sentence	The minimum and maximum sentence in days, months, and years.

Consecutive sentence length	The length of a consecutive sentence to be served in days, months, and years.
Sentence type	Whether the sentence is determinate or indeterminate.
Court findings	Indicates if the inmate was found guilty but mentally ill, a habitual criminal, habitual child sex offender, child sex offender, or requires substance abuse treatment.
Sentence date	The day the inmate was sentenced.
Custody date	The day the inmate entered an IDOC facility.
Projected MSR date	The projected date the inmate will be released on MSR.
Projected discharge date	The projected date the inmate will be discharged from IDOC custody.
Time lost and gained	Indicates credits gained, lost, or restored to the inmates time served. Includes: good conduct credits, bond credits or losses, escape losses, probation credits, jail time. The most accurate information for time credits is not maintained in these administrative files.
Committing county	The county from which the individual was committed.
Individual indicators	These include the marital status of the inmate, the number of children the inmate has, the last grade of school the inmate completed, and IQ score. The IQ score is rarely populated.
Gang information	Indicates gang affiliations, whether the inmate is an active gang member or not, and gang position. The most accurate information regarding gang involvement is not maintained in these data systems due to the sensitivity of the content.
Individual flags	These indicate whether an inmate is a veteran, or have been flagged for use of the following substances: alcohol, cocaine, amphetamine, marijuana, heroin, PCP, other drugs, methamphetamine, or unknown drugs.
Previous incarcerations	Includes number of times inmate has been incarcerated in Illinois and in other states. Also includes unreported incarcerations in Illinois or other states as indicated by the inmate.
Birthplace and citizenship	Indicates the birthplace of the inmate and their citizenship status.
Warrants and unresolved court activity	Indicates warrant information pertinent to the inmate and unresolved court activity including pending charges.
Zip code	The zip code of the individual's last known residence before incarceration.
Sex offender indicators	These variables include information on whether their committing offense is a sex offense, if they have a history of sex offenses, whether they will be required to register as a sex offender and what type, whether they are deemed sexual predators or vulnerable, variables concerning Sexually Dangerous Person and Sexually Violent Person status, registration requirements, and victim age.
DNA testing information	Dates of submission of DNA tests
Adult basic education testing	Includes date of first and last test and reading and math test scores.

Weapons indicators	Indicates if their current offense involved weapons or if they have any prior offenses that involved weapons
Truth-in-sentencing	Indicates if their sentences are subject to Truth-in-Sentencing provisions.
Offense date	The date the current offense was committed.

OTS Exit files
Level of Measurement: Individual level

Information collected in these files includes similar information as in the admissions files and additional custodial information (security level at release, release date, release institution, type of release, and discharge reasons). Table 11 presents the data elements captured by IDOC for those exiting the institution, either onto (MSR), commonly referred to as parole, or back into society if they have completed their sentence. There may be variations in sentence imposed data for the same case between admission to and exit from prison as corrections to the mittimus or criminal history are clarified and/or corrected. Data regarding historical prison exits have been reliably captured since SFY 1989. The data files encompass about one-tenth of all information contained in OTS; mostly close-ended coded items. Finally, each individual record represents an exit, so an offender may be in a data file multiple times if he is a repeat exit, but would be distinguished according to different release dates.

Table 11
Data elements in standard OTS exit files

Data element	Description
Release facility	Includes last institution, release institution, and release institution by security level
Individual security information	Includes last security level of inmate and last grade
Release date	Actual release date to supervision (MSR or parole) or actual discharge date from IDOC custody
Exit type	Whether the individual was released to supervision or discharged outright
Age at release	Individual's age at release, calculated from birth date and exit date

OTS Parole files
Level of Measurement: Individual level

These data elements are also available to the Authority in standard annual pulls from OTS, which relate to information about inmates when they are discharged from IDOC facilities and admitted to MSR. Data are also provided for when individuals are discharged from MSR, including population snapshots on a given date, called a stock population. Table 12 outlines the data

elements unique to standard OTS parole pulls, as the variables in Table 10 are also present in the parole files. Note that not all prison exits are released to MSR or parole as some offenders are discharged straight from prison. Data regarding historical parole admissions and exits have been reliably captured since SFY 1989. The data files encompass about one-tenth of all information contained in OTS; they are mostly close-ended coded items. Finally, each individual record represents an admission or exit, respectively, so an offender may be in a data file multiple times if he is a repeat offender, but would be distinguished according to different admission and release dates.

Table 12
Data elements in standard OTS parole files

Data element	Description
MSR date	The date an individual was released to supervision (MSR)
Discharge date	The date an individual was discharged from parole
Type of discharge	Whether or not an individual was discharged from parole, or was re-admitted to an IDOC facility
Case information	Details of a parolee's case, including parole agent, district, office, warrants, parole hearing information
Residence information	City of residence, ZIP code, relation of host, and address information

Potential limitations of IDOC Admissions, Exits, and Parole Data

There are four primary limitations within the OTS data files:

1) There is no mechanism to account for completion or progress made with program services. For example, the start and end dates of program services participation are indicated, but not whether an outcome was achieved. For example, an inmate taking GED classes may progress educational levels, without ever taking the examination, and the progress is not documented. The number of participation days is documented to calculate credits, but there is no measure of progress.
2) The exit files are an indication of community supervision placement, but do not always specify the offender's actual home address. An inmate may state where he is going to reside after release just before prison exit, but the notification address may change. However, the parole files will designate a specific address that is correct. Also, note that the commitment county will be from the jurisdiction where the offender was sentenced, which may not be from where the inmate resided prior to incarceration or where the offender will reside on MSR.
3) Much of the information contained within OTS is self-reported, so social trait information regarding educational levels, gang membership, substance abuse, etc. must be scrutinized.
4) Hispanic was established as a race instead of an ethnicity because ethnicity is not recorded within OTS.

Automated Reception and Classification System (ARCS)
Level of Measurement: Case-level

ARCS was established to correspond to the station-to-station processing of inmates at the reception and classification centers. A series of questions related to social, psychological, and medical background are asked of the inmate to supplement the needs assessment segment of the classification process. Ideally, the information collected through ARCS would assist in tailoring a placement decision that addresses educational deficiencies, substance abuse histories, work skill development, and outstanding mental and medical health issues.

Potential limitations

ARCS data have two limitations: 1) the data are mostly self-reported, so they can be employed preliminarily but must be sustained through verification follow-up, and 2) most of the application design was set up with open-ended fields, which does not allow for systemic aggregate analysis.

Disciplinary Tracking System (DTS)
Level of Measurement: Incident-level

Beginning fiscal year 1998, the Department began to implement an automated system for recording major and minor disciplinary infractions. By 2002, all correctional facilities were utilizing the Disciplinary Tracking System. Data are entered immediately into DTS; there is not hard-copy reporting of the data followed by manual data entry.

Potential limitations

A great majority of the DTS data are entered into open fields with variable descriptions so the data are difficult to aggregate. This is further complicated given the volume of reports per offender.

Automated Management System (AMS)
Level of Measurement: Individual level

The Illinois Department of Corrections also operates the Automated Management System (AMS) that is utilized by parole agents as a caseload management tool. This system is largely qualitative in nature. However, this system includes information relevant to the parolee and information can be extrapolated concerning the number of visits an officer makes, treatments ordered, parolee compliance with treatment, compliance with conditions of parole, events leading to an officer filing for parole revocation, and other parole information.

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Potential limitations

AMS is the most integrated system to OTS among the 32 external databases employed by IDOC. Just like OTS, Department staff has an ability to generate automated reports targeting specific data or issues, whether the reports are standardized or developed spur-of-the-moment.

For the most part OTS and AMS data can be matched case-by-case through automated procedures to get an overview of an offender's adjustment to community supervision. A benefit of AMS is that the system is modernized which allows for computer programming adjustments. There have been successful attempts to develop coded fields within AMS that allow for aggregate analysis because many of the data regarding case notes are contained within open-ended fields. Also, the data within OTS and AMS will not always match on an aggregate level because data downloads occur at different times or a sub-population cannot be articulated within both systems.

Case History and Management Program (CHAMP)
Level of Measurement: Individual level

CHAMP is an ideal information system for monitoring contacts with inmates in the correctional system either via face-to-face meetings or participation in group counseling sessions or educational classes. Every contact involving program services staff and/or activity is registered within the database including case notes documenting what occurred. A historical record is sustained that allows management and line staff to monitor institutional adjustment and developmental progress.

Potential limitations

CHAMP was not designed to analyze data on an aggregate level as the fields contain case notes and narrative. Instead, the system is primarily beneficial to review an individual inmate's program services history. The data can be utilized to review counselor caseloads, but there is almost no relevance of CHAMP to the sentence calculation and time served process.

Automated Revocation/restoration Tracking System (ARTS)
Level of Measurement: Individual level

The ability to track revoked and restored good conduct credits is a key to the sentence calculation process because as opposed to a constant sentence length for determinate cases, good conduct credits are dynamic. ARTS provided capability to document reasons for revoking and restoring good conduct credits.

ARTS has not been in use for a prolonged period compared to other systems, so time-series analyses are more difficult to conduct on a historical basis.

Illinois Department of Corrections Annual Reports
Level of Measurement: County level

In addition to the case level electronic files made available to the Authority, IDOC also publishes annual reports containing aggregate information. Some information is aggregated at the state level, some at the facility level, and some is available at county level. Table 15 provides the data elements presented in the IDOC annual reports. Inmate characteristic data detailed within the Annual Report are derived from OTS. Facility characteristic data are collected from historical records maintained within IDOC.

Table 15
Data elements presented in IDOC Annual Reports

Data element	Description
Facility characteristics	Security level, county, gender, population on June 30th, expenditures, average daily population, and per capita cost.
Prison population by sentence	Prison population on June 30th by sentence type (determinate, truth-in-sentencing, impact incarceration program, sexually dangerous person, life without parole, life with parole, death, indeterminate sentences, reception and classification).
Prison admissions	From court, new offense parole violators, and technical violators.
Prison exits	Average length of stay by admission type, and average time in days rewarded per exit.
Prison population by offense	Prison population on June 30th by offense class, offense type, and sex offender.
Prison population by county	Prison population on June 30th by committing county.
Prison population by demographic	Prison population on June 30th by race/ethnicity, gender, and age.
Parole population	Parole population on June 30th by race, gender, age, offense class, and offense category.
Parole population by county	Parole population on June 30th by residence county.

Illinois Department of Corrections Statistical Presentation Reports
Level of Measurement: County level, Circuit Court, and District Court

Pursuant to Chapter 730, Illinois Compiled Statutes, 5/5-5-4.3; the Illinois Department of Corrections is required to report on imposed sentences of inmates. From 1989 through 2004, a document detailing sentences imposed and length of stay trends from the previous ten years of

the publication date was produced. The data are disaggregated by sentence type, offense, offense class, judicial circuits, and judicial districts. This document is in production for 2005 through 2009, but has not recently been published partly attributed to the statutory requirement that data be presented by calendar year as opposed to fiscal year (which is how the great majority of IDOC data are collected and recorded).

Illinois Department of Corrections "wish list" for improvements to court data systems to enhance analysis of Illinois sentencing policies

General Data Issues and solutions provided by IDOC:

There are four primary limitations within the OTS data files:

1) There is no mechanism to account for completion or progress made with program services elements. For example, the start and end dates of program services participation are indicated, but not whether an outcome was achieved. For example, an inmate taking GED classes may progress educational levels, without ever taking the examination, and the progress is not documented. The number of participation days is documented to calculate credits, but there is no measure of progress.

2) The exit files are an indication of community supervision placement, but may not contain the offender's actual address. An inmate may state where he is going to reside after release just before prison exit, but the notification address may change. However, the parole files will designate a specific address that is correct. Also, the commitment county will be from the jurisdiction where the offender was sentenced, which may not be from where the inmate resided prior to incarceration or where the offender will reside on MSR.

3) Much of the information contained within OTS is self-reported, so social trait information regarding educational levels, gang membership, substance abuse, etc. must be scrutinized.

4) Hispanic was established as a race instead of an ethnicity because ethnicity is not recorded within OTS.

Solutions to these problems require a reengineering of the current antiquated IDOC physical information systems, which requires major funding, accompanied by a reassessment of the manner in which various data fields are collected and whether enhanced data sharing strategies with local and state agencies could resolve the limitations stated above. A specific plan of this nature has not yet been posited by IDOC officials.

One key source of data input for IDOC, as described earlier, is derived from the mittimus report. By statute, IDOC cannot admit an offender committed from any of the 102 counties without a mittimus or sentencing order. The mittimus will specify the committing county, the conviction charges, and sentence length associated with each charge. Notations regarding consecutive or concurrent sentences, truth-in-sentencing applications, and jail credits are usually on the sentencing order, but it is not uncommon for IDOC to seek local follow-up because the notations are ineligible or need further clarification. There are variations in the format of the mittimus statewide; some counties have an automated form while others utilize hand-written documents.

Given the numerous changes to the criminal code over the years, the mittimus is lacking in relevant information associated with the conviction sentence(s). For example, the mittimus format could be standardized across the state to indicate probation violators, truth-in-

sentencing applications, extended sentences, registration requirements (sex offender, methamphetamine, arson, and murder of victim under sixteen years of age), concurrent and consecutive sentences, a prior alternative sentence imposed (drug court or school), or mental health issues) in the form of a check box.

Brief summary of data utilized by other state sentencing commissions

As the Illinois SPAC considers various options for developing a data acquisition strategy to support its work, it may be useful to consider the work missions and data approaches devised by sentencing commissions in some other states:

North Carolina Sentencing and Policy Advisory Commission

Commission activities:

The commission was created to make recommendations to the General Assembly for the modification of sentencing laws and policies, and for the addition, deletion, or expansion of sentencing options as necessary to achieve policy goals. Specifically, the Commission is directed to:

- Classify criminal offenses into felony and misdemeanor categories on the basis of their severity (completed);
- Recommend structures for use by a sentencing court in determining the most appropriate sentence to be imposed in a criminal case (completed);
- Develop a correctional population simulation model (ongoing);
- Recommend a comprehensive community corrections strategy and organizational structure for the State (ongoing); and
- Study and make additional policy recommendations (ongoing).

The Commission produces annual statistical reports on sentences issued under its structured sentencing model. These reports are based off of AOIC-like sentencing/disposition data. The reports are detailed, including information on offense types and classes, demographics, criminal histories, and sentence type information. North Carolina is a centralized system, so information from courts (dispositions and probation) is at the state level, not county level as in Illinois.

For prison population projections, they utilize structured sentencing simulation model software, which accounts for AOC, DOC, and external population factors. After the implementation of sentencing guidelines, the Commission's goals have shifted towards monitoring the system in North Carolina, making recommendations on how to improve the system, recidivism studies, and research on special requests from the General Assembly.

Data Management:

Data for all operations (reports, recommendations, recidivism studies, special requests, etc.) are gathered from two main sources: Administrative Office of the Courts (AOC) and Department of Corrections (DOC). AOC provides conviction information, including demographics, sentences, and offense information. DOC provides all relevant incarceration information, including parole and probation data. From here, data are combined into one dataset, which allows the

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Commission to follow individuals from conviction to parole. These data come from legacy systems, so the Commission has to work with existing information. There is no specialized data collection instrument or process; they submit a standard yearly request for an extract from these legacy systems, and then link the information into one dataset. Coding and cleaning the data are apparently time consuming tasks.

AOC and DOC are required by statute to submit necessary data. Commission officials report that although cooperation is standard procedure currently, there were some early struggles getting these agencies to cooperate.

Oregon Criminal Justice Commission

Commission activities:

Created in 1995 to serve as a policy development and planning forum, the Commission focuses on increasing the efficiency and effectiveness of the Oregon criminal justice system. The Commission is charged with developing a state criminal justice policy, as well as a long-range public safety plan for the state. The Commission is also directed by statute to make recommendations to the Governor and Legislature in areas dealing with facilities, programs, performance measures, and crime prevention. In the Commission's 2001 Public Safety Plan, the first recommendation was that Oregon develop the availability of offender-based data so as to better track offenders through the system, and facilitate data-driven pre-trial release, sentencing, and corrections decisions. The Commission's focus shifted after passage of mandatory minimums. Their major goal was to figure out how to lessen the impact that these laws would have on the justice system's resources. Oregon has a centralized system, with courts and probation operating at the state level.

One of the Commission's major goals is to increase efficiency of the system and lessen the impact of strict sentencing laws (mandatory minimums). The Commission conducts legislative review to determine the fiscal and resource costs of new pieces of legislation, and the impact they will have on the system (bed space forecasts, treatment needs, new facilities, etc.). The Commission was able to create a risk assessment tool that is currently used by the Department of Corrections. The tool is based on logistic regression results of factors found to impact recidivism/institutional adjustment. Currently, they are trying to have judges adopt the tool and utilize its results at sentencing, as a factor in deciding sentences. Overall, the goals and activities of the Oregon Criminal Justice Commission appear to be very similar to Illinois' SPAC.

Data Management:

All data come from state agencies, including the courts, the Department of Corrections, and the State Police. The first recommendation in their 2001 Public Safety Plan was to develop a way to follow individuals through the system from the charging stage through conviction and disposition. While they weren't able to create a single, centralized database, they have created the capability to link datasets from the above agencies in order to follow individuals through the system. Commission officials noted that they had always had the data, they just didn't have the

expertise or institutional knowledge to link it until after publication of this plan. Currently, their analysts link datasets based on unique identifiers (name, DOB, race, gender), which allows them to track individuals over time. These data all come from legacy systems that were operating previously. The Commission obtains periodic extracts from these agencies, and the data is detailed and of high quality. It was stressed that the Commission had to work hard to build trust and foster relationships with other agencies, similar to the process the Authority is undergoing with IDOC and AOIC. As these relationships solidified, it became easier to gain access to data.

Other State Sentencing Commissions

Commission activities:

It appears that most other state sentencing commissions were also established to research and implement sentencing guidelines or determinate sentencing. Since most of these states now have determinate sentencing, the responsibilities of the remaining commissions have shifted more towards monitoring the use and impact of the guidelines on the state's criminal justice system. Many of the commissions provide some type of statistical summary or report on the number and types of sentences handed down during a given timeframe. Many of these sentencing commissions are also tasked with assessing the impact of their recommendations on the community and institutional corrections populations, which usually includes forecasting the growth of these populations. The Oregon Criminal Justice Commission is mandated to forecast prison populations, as are the Washington and Maryland commissions. The Ohio Criminal Sentencing Commission must also determine the impact that its proposed policies will have on prison and jail populations, and explain the potential impact of these policies to the legislature.

Oregon's Commission has a mandate similar to Illinois' SPAC. This commission is tasked with conducting research, assessing the impact of proposed criminal and crime-related legislation, and also acts as the statistical and data repository for Oregon. As well, its current primary focus is on providing and maintaining a long-range public safety plan, while serving as a forum for the development of public safety policy.

Data Management:

Most commissions receive data from their state's Administrative Office of the Courts, State Police, Department of Corrections, or some combination of these agencies. For example, the Washington State Sentencing Guidelines Committee receives sentence information from all three agencies, and then converts the information into raw data used for its reports. The Maryland State Commission on Criminal Sentencing Policy also collected sentencing information from the AOC, until it was tasked with collecting this information via a sentencing worksheet filled out by judges. Pennsylvania uses a similar worksheet for collecting sentence information. Both of these instruments are included in the Appendix. The worksheets are designed to allow these commissions to evaluate the impact of sentencing guidelines on criminal justice processes, and not necessarily for use in other research projects.

To summarize, it appears that many sentencing commissions across the country utilize data available from their state's Administrative Office of the Court, Department of Corrections, State Police, or some combination of data collected by the agency itself (usually sentencing guideline worksheet information). Some states have documented data shortcomings, unavailability, and a lack of cooperation with other agencies, even with statutory requirements for data sharing.

The lone exception to this pattern is the Virginia Sentencing Commission, which has based its analytical activities on a standardized pre-sentence investigation report, containing approximately 200 coded fields. This approach represents a promising approach for Illinois, and is explained in more detail later in this report.

New directions for data collection to support SPAC – Case-level Probation Data Reports

Current public policy initiatives, including SPAC, have been focused on the impact of sentencing policies and practices on incarceration. Given the costs of incarceration, and the fact that many of the most serious offenders are incarcerated in prison, this attention is warranted. However, there is also a significant role and impact which probation plays in the correctional services. Part of this may be due to the fact that offenders placed on probation tend to be less serious than those incarcerated in prison. Regardless of the reason, the fact remains that probation is the sentence most frequently imposed on those convicted of crimes in Illinois, be it a misdemeanor or felony offense.

Despite the large number of offenders on probation, due to the organization and operation of probation in Illinois, the availability of detailed data regarding this population is limited. Because probation in Illinois is operated at the county-level, with each county's probation department having unique information systems and needs, requiring departments to submit detailed probationer-level data on a regular basis to AOIC is a formidable challenge. AOIC has, however, organized and facilitated the collection of detailed, case-level information for Illinois' probationers during specific sampling periods in the past.

During the early and mid-1990s, AOIC sponsored a probation intake study, whereby local probation officers collected and reported to AOIC detailed probationer data during specific months (May and September 1990 and May 1995) (see Hurley & Hatfield, 1996). This provided researchers, policy makers, and practitioners with the first glimpse into some of the characteristics of Illinois' probation population and their sentences. Similarly, during November 1997, AOIC sponsored an adult probation outcome study, where probation officers reported detailed information about the cases that were being discharged from probation supervision during the sampling period (see Olson & Adkins, 1998).

In 2002, Authority researchers conducted an analysis of all adults discharged from active probation supervision during a four-week period in November 2000 (see Adams, Olson, & Adkins, 2002). Information regarding probationer demographic and socio-economic characteristics, the conditions of their probation sentences (e.g., sentence length, court-ordered treatment, etc.), and the outcome of their probation sentence (e.g., discharge status, technical violations or new arrests while on probation, completion of court ordered treatment, etc.) were described in that report. The study also included more detailed information regarding the probationers' living arrangements, substance abuse problems, conviction offense, and the nature of new arrests and technical violations. In addition, the 2000 outcome study included information for both adults and juveniles, whereas the 1997 study only included adult probationers. Finally, information was also collected that allowed for the matching of cases to criminal history records, allowing for an assessment of probationer recidivism following their release from probation.

Although future efforts of this type may be possible, concerns exist over data quality. Intake and outcome data collection was dependent on the efforts of probation officers to capture probationer data that is often considerably more detailed than what is collected in current probationer files.

Upon secondary analysis of the 1990s juvenile probationer intake data by other researchers (see Castellano & Ferguson), concerns over the validity of the data emerged. The researchers noted that despite strong communication and training efforts on the part of AOIC to encourage and train probation officers to comply with the study fully, survey data from probation officers who were original participants in the data collection efforts suggest that many of the officers generated data of questionable value.

Finally, for the past several years, AOIC has been developing an electronic system whereby local probation departments will be able to submit client-level data, referred to as POLARIS (Probation On-Line Automated Reporting Information System). POLARIS is expected to provide an opportunity for individual departments and AOIC to analyze trends, perform group comparisons, and provide an empirical basis for evaluating probation programs, strategies, and practices.

The University of Illinois at Springfield (UIS) Center for Legal Studies (CLES) subcontracted with AOIC to perform a dual role that included: 1) technical assistance; and 2) facilitation of an advisory group made up of probation directors, supervisors, officers, and information system personnel representing 22 probation departments in Illinois. During the first year of the project, UIS staff administered two surveys. The first was designed to gather information about the technical capacity of different probation departments to collect and transmit data to the centralized warehouse that will be designed and established by AOIC. The results of the survey and supplemental interviews suggest that most counties have the ability to modify their systems to collect the new data elements and transmit data to the centralized database. Other counties will need to modify existing software and improve their technical capacity to comply with the new system.

The second survey was also directed to probation departments and was part of the overall effort to propose new data elements for POLARIS. The survey asked which data elements were necessary for analyses relating to five goals of probation: 1) achieving effective court-ordered dispositions; 2) enforcing court-ordered conditions of probation; 3) community protection; 4) restoring offenders to useful and productive lives; and 5) repairing harm to victims and the community.

AOIC is now addressing implementation issues, including: 1) a site impact investigation component which is intended to test the impact of proposed changes on individual probation reporting systems – such as the feasibility of inserting new data elements into those existing systems; 2) finalizing the system architecture, equipment and transmission processes for the new database; and 3) technical and content review to ensure that the proposed system and its subcomponents meet the needs of its stakeholders. A listing of POLARIS data elements is listed in the Appendix.

New directions for data collection to support SPAC – Presentence Investigation (PSI) Reports

As noted in this report, there are limitations and deficiencies in the existing court case data. The aggregate circuit court clerk data that is available from Administrative Office of the Illinois Courts (AOIC) annual reports, for example, distinguishes cases only by felony or misdemeanor class, not by offense type. Further, it contains no information regarding offender demographics or previous convictions. CHRI data also has limitations, starting with the fact that many court dispositions are still missing. It also, of course, lacks any sort of social/contextual data that factors into sentencing decisions. Integrated justice solutions may be a long ways from providing a solution. One possible direction for the future that merits strong consideration is utilization of a standardized Presentence Investigation (PSI) report. This approach leverages an existing justice operation carried out by probation departments to assemble the very information used by judges to guide sentencing decisions – thereby providing the data needed for sentencing analysis. As noted earlier, AOIC is in the process of developing such an instrument. The form along with the accompanying instructions are included in the Appendix.

A recognized model for this approach has been produced by the Virginia Sentencing Commission, whose standardized PSI has proven successful in supporting the work of the commission in that state. Their PSI instrument is mandated for use in each court district, and contains approximately 200 coded fields containing information on specific circumstances related to the presenting offense, the offender's criminal history, and relevant social history factors such as employment, education, and family support. Virginia has been able to obtain comprehensive buy-in from all probation departments, who complete and submit these reports for all convicted defendants. The individual's social history, education, treatment info, and other dynamic fields can all be updated electronically by the probation officers. So, for example, if an individual goes through drug treatment, their PSI can be updated to reflect the most recent developments in the case. Besides the coded fields, there is space provided for narrative wherein the probation officer can elaborate on any factors or add additional information. A copy of a blank form is contained in the Appendix.

In Illinois, at least two major challenges exist to following the same course. First, PSIs are not conducted on all convicted offenders. Second, the level of detail and quality of the information varies considerably across jurisdictions. The Authority has previously proposed research would serve as a feasibility study for implementing a standardized PSI across jurisdictions, assuming AOIC concurrence. The project would include collection of information from each probation department, via survey and/or phone interview, to determine their protocols and procedures for generating PSIs. It would seek to learn under what circumstances PSIs are/are not generated for convicted offenders, and to estimate the actual numbers generated and the percentage that represents of all convicted offenders. This project could also examine the PSI instrument from each jurisdiction and determine their variance in types of information collected. Considering the Virginia PSI instrument as a model, a gap analysis could summarize how far away each jurisdiction is from furnishing the level of detail needed to conduct sentencing analysis. Other PSI models may be available from other states or from national organizations such as National Center for State Courts. Finally, research staff could pull a sample of completed PSI reports from

various jurisdictions to evaluate report quality (i.e., completeness, accuracy, and timeliness). In the end, the results from this study would provide a knowledge base from which an implementation strategy could be devised for standardizing PSIs, along with perhaps recommendations for how these reports would be collated, managed, and used for analysis.

New directions for data collection to support SPAC – Direct access to county-level court and probation files

This report has examined only those data sources that collect and report statewide information. However, it is important that SPAC does not overlook the possibility of rich data being collected at the county level by local probation agencies to monitor their programs and case flow. For instance, the Authority is aware that the Cook County Adult Probation program utilizes an automated system, PROMIS, which probation officers use to monitor their clients. Much of the information in this system is qualitative in the form of case notes; however, it presents many opportunities to generate additional data.

Local court systems may collect relevant information for their own monitoring purposes. Reaching out to these localities may also provide data necessary to inform the work of SPAC. Such outreach and enhanced data collection needs to be coordinated centrally through the AOIC.

References

Hurley, D.J. & Hatfield, J.M. (1996). Illinois Probation Intake Study. Illinois Criminal Justice Information Authority, Chicago, IL.

Olson, D.E. & Adkins, R. (1998). Results of the 1997 Illinois Adult Probation Outcome Study. Illinois Criminal Justice Information Authority, Chicago, IL.

Adams, S., Olson, D. & Adkins, R. (2002). Results from the 2000 Illinois Adult Probation Outcome Study. Illinois Criminal Justice Information Authority, Chicago, IL.

Castellano, T.C. & Ferguson, M. (1998). A Time Study of Juvenile Probation Services in Illinois. Illinois Criminal Justice Information Authority, Chicago, IL.

Appendix

CHRI Court Disposition Codes

100 Series – Conviction disposition, sentence information to follow

101	Guilty
102	Guilty/Mentally Ill
103	Guilty/Directed Verdict
104	Ex Parte Finding of Guilty
105	Guilty Ch.111.5 Par.6360-2
106	Adjudicated Delinquent
107	Extended Juvenile Jurisdiction/Guilty
108	Extended Juvenile Jurisdiction/Adult Sentence Imposed

200 Series – Non-conviction disposition, no sentence information to follow

201	Not Guilty
202	Not Guilty/Insane
203	Not Guilty/Direct Verdict
204	Not Guilty/Guilty Lesser Included Offense
205	Nolle Presequi
206	No Bill
207	Transferred/No Jurisdiction
208	Dismissed
209	Dismissed State Motion
210	Dismissed Defense Motion
211	Dismissed Court
212	Dismissed Superceded
213	Dismissed No Probable Cause
214	Dismissed for Want of Prosecution
215	710 Probation Dismissed
216	1410 Probation Dismissed
217	Supervision Dismissed
218	Dismissed/Treatment Satisfied
219	Probation Dismissed
220	Non-Suit
221	Stricken On Leave
222	Death Suggested/Cause Abated
223	Charge Amended/Reduced
224	Governor's Pardon
227	Merged With another Offense
228	Delinquency Petition Withdrawn
229	Not Proven/Not Adjudicated Delinquent

300 Series – Interim dispositions/forfeitures, no disposition information to follow

301   Driver's License Forfeiture
302   Bond Forfeiture
303   Judgment Entered/Bond Forfeiture
304   Failure to Comply/Non-Resident Violator Compact
305   Order of Failure to Appear Driver's License only

400 Series – Interim disposition/withhold judgment, sentence information to follow

401   Withhold Judgment 710 Probation
402   Withhold Judgment 1410 Probation
403   Withhold Judgment Supervision
404   Withhold Judgment 91.5 -120.9
405   Withhold Judgment/720 ILCS 5/12-4.3
406   Withhold Judgment/2310 Probation
407   Juvenile Continuance Under Supervision
408   Withhold Judgment/520 ILCS 5/3.5
409   Withhold Judgment/720 ILCS 5.0/12-21.5 or 21.6

500 Series – Interim dispositions/other, no sentence information to follow

501   Unfit to Stand Trial
502   Sexually Dangerous
503   Mistrial
504   Warrant Issued
505   Warrant Quashed
506   Bond Forfeiture Warrant Issued
507   Bond Forfeiture Warrant Quashed

600 Series – Revocation/vacate disposition, sentence information may follow

601   Revocation/Probation
602   Revocation/Conditional Discharge
603   Revocation Supervision
604   Revocaton/710 Probation
605   Revocation/1410 Probation
606   Revocation 720 ILCS 5/12-4.3

650 Series – Modifications to trial court

650   Modified Trial Court
651   Vacated/Trial Court
652   Vacate Adult/Juvenile Sentence Completed

700 Series – Subsequent dispositions, no sentence information to follow

701   Probation Terminated
702   Conditional Discharge Terminated
703   Lieu of Bail Satisfied
704   DUI School Completed
705   Failure to Pay/ Notice to Serve on Sight
706   Paid in Full 625 ILCS 5/6-306.6
707   Terminated Unsatisfied
708   Terminated Satisfied
709   Abandon Vehicle/Fail to Pay/Notice
710   Abandon Vehicle/Paid in Full/Compliance

800 Series – Reviewing Court

801   Reversed/Review Court
802   Remanded/Review Court
803   Modified/Review Court
804   Vacated/Review Court
805   Modified/Trial Court
806   Vacated/Trial Court

888,890,899 Series – Special disposition/not available

888   Disposition Not Available
890   Disposition Not Mandated to Be Reported
899   Duplicate or Warrant Arrest

900 Series – Other dispositions

900   Pardon
901   Commutation
903   Pretrial Diversion
999   Not Reported

CHRI SENTENCE CODES

100 Series – No Sentence Length
101 DEATH
102 LIFE
103 GRAFFITI REPAIR
104 NO SENTENCE TO FOLLOW
105 SENTENCE MERGED WITH OTHER SENTENCE

200 Series – Associated with Sentence Length
201 IMPRISONMENT-DOC
202 IMPRISONMENT-JAIL
203 PERIODIC IMPRISONMENT
204 PROBATION
205 SPECIAL PROBATION
206 CONDITIONAL DISCHARGE
207 SPECIAL COND DISCHARGE
208 SUPERVISION
209 PUBLIC SERVICE
210 INTENSIVE PROBATION
211 CREDIT TIME SERVED
212 HOME CONFINEMENT
213 ELECTRONIC MONITORING
214 BOOT CAMP
215 JUVENILE DETENTION

300 Series – Associated With Amounts
301 FINE AND/OR COSTS
302 RESTITUTION
303 COST ONLY
304 REVOCATION/PROBATION
305 IMPRISONMENT-DOC

400 Series – Special Conditions
401 VOCATIONAL TRAINING
402 MEDICAL/MENTAL CARE
403 DRUG ADDICTION CARE
404 ALCOHOLISM TREATMENT
405 COMMITTED SPECIAL FACILITY
406 DUI SCHOOL
407 DRIVER EDUCATION SCHOOL

500 Series - Pretrial
500 PRETRIAL DIVERSION

800-900 Series - Miscellaneous
888 DISPOSITION NOT AVAILABLE

902 LIFE
997 LIFE
998 MAXIMUM SENTENCE
999 FINE AND/OR COSTS

Juvenile Adjustment Terms
FAJ
ADJUSTMENT TERM - POSSESSION OF FIREARM LIMITATIONS

CAJ
ADJUSTMENT TERM - CURFEW

GAJ
ADJUSTMENT TERM - GEOGRAPHIC RESTRICTIONS

JAJ
ADJUSTMENT TERM - JUVENILE OFFICER REPORTING

LAJ
ADJUSTMENT TERM - CONTACT LIMITATIONS

MAJ
ADJUSTMENT TERM - COMMUNITY MEDIATION

OAJ
ADJUSTMENT TERM - OTHER

PAJ
ADJUSTMENT TERM - PEER SUPPORT PROGRAM

RAJ
ADJUSTMENT TERM - RESTITUTION

SAJ
ADJUSTMENT TERM - SCHOOL ATTENDANCE REQUIRED

UAJ
ADJUSTMENT TERM - COUNSELING

XAJ
ADJUSTMENT TERM - COMMUNITY SERVICE

MARYLAND SENTENCING GUIDELINES WORKSHEET

OFFENDER NAME - Last, First, Middle			SID#		SEX __ M __ F	BIRTHDATE __ / __ / __	JURISDICTION

PSI __ Yes __ No	DATE OF OFFENSE	DATE OF SENTENCING	DISPOSITION TYPE	REPRESENTATION	ETHNICITY	RACE

DISPOSITION TYPE:
__ ABA plea agreement __ Jury trial
__ Non-ABA plea agreement __ Reconsideration
__ Plea, no agreement __ Review
__ Court trial

REPRESENTATION:
__ Private
__ Public Defender
__ Court Appointed
__ Self

ETHNICITY:
Hispanic/Latino Origin __ Yes __ No
INDIGENCE ESTABLISHED __ Yes __ No

RACE:
__ Black __ Asian
__ White __ Other
__ Native Hawaiian/Pacific Islander
__ American Indian/Alaskan Native
__ Unidentifiable

AT THIS SENTENCING, NUMBER OF: CONVICTED OFFENSES __ CRIMINAL EVENTS __
WORKSHEET # __ OF __
CRIMINAL EVENT # __

CONVICTED OFFENSE TITLE

	I-VII	CJIS CODE	MD CODE, ART, & SECTION	STAT. MAX	MAND. MIN	CASE # / DOCKET #
1ST Convicted Offense						
2nd Convicted Offense						
3rd Convicted Offense						

OFFENSE SCORE(S) – Offense Against a Person Only

	1st Off	2nd Off	3rd Off	
A. Seriousness Category				
V – VII	1	1	1	
IV	3	3	3	
III	5	5	5	
II	8	8	8	
I	10	10	10	
B. Victim Injury	1st Off	2nd Off	3rd Off	
No Injury	0	0	0	
Injury, Non-Permanent	1	1	1	
Permanent Injury or Death	2	2	2	
C. Weapon Presence	1st Off	2nd Off	3rd Off	
No Weapon	0	0	0	
Weapon Other Than Firearm	1	1	1	
Firearm or Explosive	2	2	2	
D. Special Victim Vulnerability	1st Off	2nd Off	3rd Off	
No	0	0	0	
Yes	1	1	1	

OFFENSE SCORE(S) ____

OFFENDER SCORE

A. Relationship to CJS When Instant Offense Occurred
0 = None or Pending Cases
1 = Court or Other Criminal Justice Supervision

B. Juvenile Delinquency
0 = 23 years or older or crime-free for 5 years or no more than 1 finding of a delinquent act
1 = Under 23 years old **and**: 2 or more findings of a delinquent act **or** 1 commitment
2 = Under 23 years **and** committed 2 or more times

C. Prior Adult Criminal Record
0 = None   3 = Moderate
1 = Minor   5 = Major

D. Prior Adult Parole/Prob Violation
0 = No   1 = Yes

OFFENDER SCORE ____

GUIDELINES RANGE

1st Con. Off.	____ TO ____
2nd Con. Off.	____ TO ____
3rd Con. Off.	____ TO ____
Overall Guidelines Range Multiple Counts Only	____ TO ____
50% of Sentence Announced	____

ACTUAL SENTENCE – Imposed, Suspended, Time Served, Probation, Restitution, Fine, Corrections Options Programs (Drug Treatment Court, Home Detention, Etc.)

1st Convicted Offense

For Theft, Fraud, and Related Crimes, please indicate: ☐Economic loss $ ____ ☐Unknown Amount
Subsequent Offender Filed __ Yes __ No   Restitution Requested __ Yes __ No
Subsequent Offender Proven __ Yes __ No   Restitution Proven __ Yes __ No

2nd Convicted Offense

For Theft, Fraud, and Related Crimes, please indicate: ☐Economic loss $ ____ ; ☐Unknown Amount
Subsequent Offender Filed __ Yes __ No   Restitution Requested __ Yes __ No
Subsequent Offender Proven __ Yes __ No   Restitution Proven __ Yes __ No

3rd Convicted Offense

For Theft, Fraud, and Related Crimes, please indicate: ☐Economic loss $ ____ ; ☐Unknown Amount
Subsequent Offender Filed __ Yes __ No   Restitution Requested __ Yes __ No
Subsequent Offender Proven __ Yes __ No   Restitution Proven __ Yes __ No

Was the offender sentenced to a Corrections Options program under Commission criteria?
Drug Court __ Yes __ No Other __ Yes __ No

Additional Information or Institutional/Parole Recommendation

Parole Notification __ Yes __ No

SENTENCE DEPARTURE INFORMATION

If the actual sentence departs from the guidelines range, please indicate the Court's reason(s) using the numerical code(s) on the list of common departure factors in the manual, if applicable.

☐ ☐

Departure Code 9 or 18 (Please Explain):

VICTIM INFORMATION

	Yes	No
Victim	__	__
Victim Unavailable	__	__
NRF	__	__
Victim Notified Plea	__	__
Victim Notified Date	__	__
Victim Present	__	__
Written VIS	__	__
Oral VIS	__	__
No Contact with Victim	__	__
CICB Cost Imposed	__	__

Worksheet Completed By ____

Title ____

Sentencing Judge (Please Print) ____

Sentencing Judge's Signature ____

5/2010 (1.6)

COPIES: White – Judge; Blue – Sentencing Commission; Green – Attach to Commitment or Probation Order; Yellow – File; Pink – Prosecution; Gold – Defense

PENNSYLVANIA COMMISSION ON SENTENCING
GUIDELINE SENTENCE FORM [6th Edition, revised; 12/05/08]
SGS Web generated form (PCS 10C 12/2008)

Date printed:
Date submitted:

SGS Web ID Number

PO Box 1200
State College, PA 16804

Offender's Name (Last, First, Middle)		Date of Birth	Sex	Form

State ID Number	Police Photo ID Number	Social Security Number	Race	Date of Sentence

Judge's Name	County	Person Completing Form

Prior Offenses

	Juvenile Adjudication	Adult Conviction
Murder & inchoates		
Vol. Manslaughter		
Rape		
Kidnapping		
I.D.S.I		
Arson Endangering Persons (F1)		
Robbery (F1)		
Rob. Motor Veh		
Agg. Assault (F1 – cause SBI)		
Burglary (house/person)		
Agg. Indecent Assault		
Incest		
Sexual Assault		
Ethnic Intimidation to Any F-1		
Drug Delivery/Death & Inchoate		
Weapons of Mass destruction		
Other 4 Point Offenses		
subtotal		+ ___ X4=

A

Inchoate to 4 pt. offenses		
Burglary (other F1)		
[Other] Felony 1 Offenses		
subtotal	* ___	+ ___ X3=

B

[Other] Felony 2 Offenses	* ___	+ ___ X2=
Fel. Drugs [>=50gr.]	* ___	+ ___ X3=
[Other] Felony Drugs	___	+ ___ X2=
[Other] Felony 3 Offenses		
M1 Offenses Involving Death		
M1 Offenses Involving Weapons		
M1 Offenses Involving Children		

C

Subtotal	* ___	+ ___ X1=

DUI Offenses
[Do not include 1ˢᵗ DUI in total]

Uncl. Misd.	
M-2	
M-1	
Subtotal	* ___ + ___ X1=

0-1=0   4-6=2

Other Misd. ___	2-3=1 7+ = 3	··· ___ =

Crime free, age 18-28:

	If A is 8 points or greater, and the OGS=9 or more:	REVOC
PRIOR	Otherwise, if A + B is 6 points or greater:	RFEL
RECORD	Otherwise, PRS = A + B + C [maximum = 5]:	___
SCORE	Juvenile adjudications do NOT Lapse: *Juvenile adjudications Lapse:	

Offense Name/Description:

Title & Section		Date of Offense	Age at Offense
		OTN	

Grade	OGS	PRS	Docket#		Count #

GUIDELINE RANGES

	Mitigated	Standard	Aggravated	LEVEL
Fines	Community Service	STATUTORY LIMITS:	Minimum	Maximum

Mandatory Minimum:	**MANDATORY**

ENHANCEMENT
☐ None   ☐ Youth/Drug Distribution   ☐ School/Drug Distribution   ☐ Deadly Weapon Possessed   ☐ Deadly Weapon Used

OTHER INFORMATION   Victim Age ___

Yes No
☐ ☐ D&A Eval. / Prelim.
☐ ☐ D&A Dependant
☐ ☐ D&A Eval. / Full

Yes No
☐ ☐ PSI Completed
☐ ☐ IP Eligible
☐ ☐ Sexually Viol. Predator

RRRI MINIMUM INFORMATION (entire JP)

Yes No
☐ ☐ Judge approved with prior RRRI sentences. Number of prior RRRI sentences: ___
☐ ☐ Offender Ineligible: prior offenses, behavior, mandatories, etc.
☐ ☐ DA Waived Ineligibility
☐ ☐ Judge authorizes waiver

JP Minimum Sentence	JP RRRI Sentence

☐ Confinement/State Facility
☐ Confinement/County Facility

Min: ___ (mos.)
Max: ___ (mos.)
Credit for Time Served: ___

☐ County Re-entry Authorized
☐ Boot Camp Authorized
☐ Work Release Authorized

☐ COUNTY INTERMEDIATE PUNISHMENT (CIP)   ☐ STATE IP (SIP)
RIP Period: ___ (mos.) Program: ___
RS Period: ___ (mos.) Program: ___

If DRUG DEPENDENT, is IP consistent
with clinical recommendation?   ☐ YES ☐ NO

RESTORATIVE SANCTIONS

☐ Probation Period: ___ (mos.)
☐ Conditions: ___
☐ Fines: $ ___
☐ Restitution: $ ___
☐ JP Costs: $___
☐ JP Fees: $___
☐ Guilty without further penalty [NFP]

Is the Probation for THIS OFFENSE,
Concurrent or Consecutive to the
Incarceration for THIS OFFENSE?

☐ Concurrent   ☐ Consecutive
... to the IP for THIS OFFENSE?
☐ Concurrent   ☐ Consecutive

CONFORMITY
☐ Standard   Departure
☐ Aggravated   ☐ Below
☐ Mitigated   ☐ Above

TYPE OF DISPOSITION (CONVICTION)
☐ Neg. Guilty Plea   ☐ Nolo Contendere
☐ Non-Neg Guilty Plea   ☐ Jury Trial
☐ Other ___   ☐ Bench Trial

NEGOTIATED PLEA AS TO SENTENCE:

TOTAL AMOUNT OF SUPERVISION (all sanctions) FOR THIS OFFENSE
Is this offense TOTALLY CONCURRENT to any other offense?

Reasons for sentence:

Illinois Pre-Screen Instrument
(IPI)

Name_____ Case#_____
    Last   First   Mi

Officer's Name_____ Date of Assessment_____

Offense(s)_____

Instructions: Score items and add total score

SCORE

1. Age at First Adult Conviction/Juvenile Adjudication (Include supervisions & conditional discharges)	24 or older = 0 20 to 23 = 2 19 or under = 4	☐
2. Prior Probation/Parole Supervisions (Adult or Juvenile)	None = 0 One or more = 4	☐
3. Number of Prior Probation/Parole Revocations (Adult or Juvenile)	None = 0 One or more = 4	☐
4. Convictions for: (Include present offense, supervisions, conditional discharges & Juvenile adjudications)	(a) Burglary, Theft or Robbery = 2 (b) Forgery, Deceptive Practice = 3 (c) One or more from a) and b) = 5 None = 0	☐
5. Prior Felony Convictions or Adjudications	None = 0 One = 2 Two or more = 4	☐
6. Alcohol Usage Problems	No interference = 0 Occasional abuse = 2 Frequent abuse = 4	☐
7. Drug Usage Problems	No interference = 0 Occasional abuse = 1 Frequent abuse = 2	☐
8. Number of Address Changes in last 12 months (prior to incarceration)	None = 0 One = 2 Two or more = 3	☐
9. Percent Time Employed in Last 12 months	60% and above or Not Applicable = 0 40-59% = 1 Less than 40%, Unemployed, or Unemployable = 2	☐
10. Attitude	Motivated to Change = 0 Dependent or unwilling to accept responsibility = 3 Rationalized behavior; negative; not motivated to change = 5	☐

TOTAL SCORE ☐

PRE-SCREEN OUTCOME

11 to 37 Full LSI-R Assessment Required
0 to 10 Full LSI-R Assessment Not Required
0 to 10 Full LSI-R Assessment Not Required Proceeded to Full Assessment; Reason:_____

AOIC REVISED 3/2007

Administrative Office of the Illinois Courts
Probation Services Division
Pre-Sentence Investigation Report Form

I. COURT/OFFENSE INFORMATION

Judicial Circuit: Judge:
County: Defense Attorney:
State's Attorney: Sentencing Date:
Case Number:

Offense:
Date of Offense:
Date of Arrest:
Official Version of Offense:
Status Since Arrest:

II. DEMOGRAPHIC INFORMATION

Name: Alias/Maiden Name:
Address: Height:
City/State/Zip Code: Weight:
Phone/Cell Phone: Hair:
Date of Birth   Eyes:
Place of Birth: Gender:
Driver's License Number: Scars/Tatoos:
Citizenship:
Social Security Number:

III. CRIMINAL RISK/NEED AND PROTECTIVE FACTORS

☐   History of Delinquency and Criminality

*This section may include history of juvenile and adult offense/disposition; incarceration, parole and probation; also include
any protective factors*

☐   Substance Use/Abuse

*This section may include history of alcohol/drug problems; history of treatment interventions and response; current alcohol
and drug usage; impact of use/abuse on marital/family/employment; also include any protective factors*

☐   Associates/Companions

This section may include anti- and pro-social associates or friends; also include any protective factors

Page 1 of 4

☐   Attitudes/Values

This section may include negative or mimization of offense, anti-social beliefs and values; adjustment/response to rules; also include any protective factors

☐   Family/Marital

This section may include a summary of the family constellation, marital/partner situation, criminal history of family members, and the influence of other anti-social attitudes or behaviors; also include any protective factors

☐   Education/Employment

This section may include current employment status including duration; education history including participation and performance; interactions with peers or persons in authority; current education status; also include any protective factors

☐   Emotional/Personal

This section may include ability to manage everyday living; mental health history or severe emotional or cognitive problems; history of treatment interventions; current mental health status/treatment; psychological/psychiatric assessments; also include any protective factors

☐   Housing (Accomodation)

This section may include a history of address changes; neighborhood deficits or strengths; community ties; living arrangements; also include any protective factors

☐   Financial

This section may include information on problems and forms of assistance; also include any protective factors

☐   Recreation/Leisure

This section may include information on involvement in structured activities; activities outside work/school; also include any protective factors

IV. VICTIM IMPACT STATEMENT

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V. DEFENDANT'S STATEMENT

.

VI. CO-DEFENDANT'S STATEMENT

VII. SUMMARY

☐   Protective Factors

1)
2)
3)

☐   Risk Factors

1)
2)
3)

☐   Targeted Interventions and Supervision Strategies/Available Resources

1)
2)
3)
4)

☐   Conclusions

Report Prepared By:
Date:

POLARIS Data

Recommended Data Elements: Demographic, Social and Case Specific Data Elements

Description of Data Element

Defendant Name (Last, First, MI)

Court Case Number

County

Circuit

Department

Social Security Number

Criminal History ID (SID#)

Interstate Compact Case Designation

Date of Birth

Age at Referral/Sentence

Sex

Race

Ethnicity

# of Prior Convictions by Type

# of Prior Post-Conviction Incarcerations by Type

Adjudication Date (Juvenile)

# of Prior Referrals (Juvenile)

Taxes Withheld (while on probation)

Administrative Caseload (transfers out)

Pre-sentence Investigation Ordered, Pending and Completed

Intakes Completed

Investigations Completed by Type (Social History, Adoption, Custody)

Recommended Data Elements: By Goal Area

Data Element #   Description of Data Element

Goal #1: Effective court-ordered dispositions.

02	Type of conditions ordered by the court

Goal #2: Enforce court-ordered conditions of probation and administrative sanctions.

05	Date of disposition
06	Disposition by court
07	Disposition by officer
04	Type of disposition
10	Type of treatment/services completed
17	Amount of fines ordered
18	Amount of fines paid

Data Element #	Description of Data Element
15	Amount of supervision fees ordered
16	Amount of fees paid
20	Date of initial risk assessment
19	Risk level at assessment
22	Date of reassessment
21	Risk level at reassessment
24	Date of discharge risk assessment
23	Risk level at discharge
12	Date of drug/alcohol tests administered
13	Date of positive drug/alcohol tests
14	Type of substance detected
25	IPS termination status
01	Type of technical violation

Goal #3: Community protection.

03	Disposition of new offense
10	Type of new offense

Goal #4: Restore offenders to useful and productive lives through the most effective probation case management strategies and practices.

27	Type of substance abuse identified at intake
09	Employment status at intake
18	School enrollment at intake
20	School enrollment at termination
19	Highest grade completed at intake
21	Last grade completed at termination
23	School attendance (juv.) at intake
25	School attendance (juv.) at termination
13	Employment status at termination

Goal #5: Repair harm to victim and community.

01	Restitution ordered

Data Element #	Description of Data Element
02	Restitution Paid
05	Community service hours completed
04	Community service hours ordered

VIRGINIA DEPARTMENT OF CORRECTIONS
PRESENTENCE INVESTIGATION REPORT
OFFENDER INFORMATION

DISTRICT NUMBER 24   PREPARED BY _____
DATE OF SENTENCING _____   DATE TYPED _____

OFFENDER SUMMARY	OFFENDER'S NAME (Last, First, Middle)						
NICKNAME/STREET NAME		ALIAS (AKA)				MAIDEN NAME	
RACE	SEX	PLACE OF BIRTH (City or County)		LOC	STATE	AGE	DATE OF BIRTH (mm/dd/yy)
SOCIAL SECURITY NUMBER		STATE ID NUMBER (CCRE)			FBI NUMBER		

PERMANENT ADDRESS

LOCAL ADDRESS (if different)

COURT INFORMATION	COURT			JUDGE HONORABLE	
PROSECUTING ATTORNEY		DEFENSE ATTORNEY		TYPE OF COUNSEL COURT APPOINTED ☐ RETAINED ☐	

DATE OF CONVICTION (mm/dd/yy)	METHOD OF ADJUDICATION GUILTY PLEA ☐1 JUDGE ☐2 JURY ☐3	PRETRIAL STATUS ON OWN BOND ☐1 RECOGNIZANCE ☐2 CONFINEMENT ☐3 THIRD PARTY RELEASE ☐4

PRETRIAL STATUS (mm/dd/yy) N/A ☐ FROM _____ TO _____ FROM _____ TO _____	SOURCE OF BOND PERSONAL ☐1 FAMILY ☐2 OTHER ☐3 BONDSMAN ☐4 N/A ☐	POST TRIAL STATUS CONFINED ☐ NOT CONFINED ☐

OFFENSE INFORMATION

DOCKET NUMBER	OFFENSE AT INDICTMENT	OFFENSE CODE (VCC)	PLEA PER OFFENSE
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____
5. _____	_____	_____	_____

OFFENSE AT CONVICTION	OFFENSE CODE (VCC)	PLEA AGREEMENT	VIRGINIA CODE SECTION
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____
5. _____	_____	_____	_____

CODEFENDANTS	NAME(S) (Last, First, Middle)	DISPOSITION
1.	_____	
2.	_____	
3.	_____	
4.	_____	

- 1 -

CURRENT OFFENSE INFORMATION

REF.: _____

MOST SERIOUS OFFENSE INFORMATION	Most serious offense charge at indictment	Offense Code (VCC)

Date of Offense | **No. of codedefendants** | **Resisting arrest charge** | **Type of offense**

__(mm/dd/yy)__ | | No ☐   Yes ☐ | Person ☐1   Property ☐2   Other ☐3

Legal status at the time of offense
Escape ☐0   Inmate ☐1   Mandatory Parole ☐2   Discretionary Parole ☐3   Probation ☐4   Bond ☐5
Released Summons ☐6   Released Recognizance ☐7   Other ☐8   None ☐9

Weapon Use   **Weapon Type**
    Used to   Used to   Simulated
None ☐1   Injure ☐2   Threaten ☐3 | Firearm ☐1   Knife ☐2   Explosive ☐3   Weapon ☐4   Other ☐5   N/A ☐

Offender's role in offense   **Current Arrest Date**
   Alone ☐1   Leader ☐2   Accomplice ☒3   Not determined ☐4   __(mm/dd/yy)__

Most serious offense victim information | **Injury to victim**
(Crime against person)   Serious
      N/A ☐   Death ☐1   Physical ☐2   Physical ☐3   Emotional ☐4   Threatened ☐5   N/A ☐6

Victim relationship to offender | **Physically handicapped victim** | **Victim information**
None ☐1   Friend ☐2   Family ☐3   Police officer ☐4 | No ☐1   Yes ☐2   Unknown ☐ | Sex _____   Race _____   Age

Victim impact statement requested | **Alcohol/Drug use at time of offense**
(If yes, attach to last page of PSI)   No ☐   Yes | None ☐1   Both ☐2   Alcohol ☐3   Drug ☐4   Unknown ☐5
☐

Drug Offenses
  Primary drug: _____   Secondary drug: _____
  Amount: _____   Amount: _____

Narrative of Current Offense

-2-

JUVENILE CRIMINAL HISTORY

REF.: _____

JUVENILE RECORD	PRIOR JUVENILE RECORD No ☐1 Yes ☐2 Unknown ☐	TYPE OF RECORD Delinquent ☐ Status ☐	AGE AT FIRST JUVENILE DELINQUENT ADJUDICATION

NUMBER PRIOR JUVENILE DELINQUENT ADJUDICATIONS
CRIMES AGAINST PERSON _____   CRIMES AGAINST PROPERTY _____   DRUG CRIMES _____   OTHER _____

TYPE OF DISPOSITION(S)
PROBATION ☐1   REVOKED ☐2   STATE WARD ☐3   OTHER ☐4

VERIFIED INFORMATION NO ☐ YES ☐	SOURCE OF INFORMATION IF UNVERIFIED FAMILY MEMBER/ RELATIVE ☐1 DEFENDANT ☐2 OTHER ☐3

NARRATIVE OF JUVENILE CRIMINAL HISTORY

- 3 -

ADULT CRIMINAL HISTORY SUMMARY

REF.: _____

ADULT RECORD	PRIOR ADULT RECORD YES ☐1 NO ☐2 UNKNOWN ☐	NO. OF PRIOR FELONY SENTENCING EVENTS	NO. PRIOR FELONY CONVICTIONS FOR CRIMES AGAINST PERSON PROPERTY CRIMES DRUG CRIMES OTHER ____ ____ ____ ____

NO. PRIOR FELONY CONVICTIONS FOR INSTANT OFFENSE AT CONVICTION	NO. OF PREVIOUS FELON COMMITMENTS VIRGINIA OUT-OF-STATE

MOST RECENT AND SERIOUS PRIOR CRIMINAL ADULT CONVICTIONS

DESCRIPTION	OFFENSE CODE (VCC)
1. _____	1. _____
2. _____	2. _____
3. _____	3. _____
4. _____	4. _____
5. _____	5. _____

NO. OF PRIOR PROBATIONS Completed _ Revoked _	NO. OF PRIOR PAROLES Completed _ Revoked _	NO. OF PRIOR INCARCERATIONS RECEIVED Under 1 Year _ 1 Year or More _

LAST PREVIOUS ARREST DATE (mm/dd/yy)	NO. PRIOR MISDEMEANANT CONVICTIONS Criminal _ Criminal Traffic _

NARRATIVE OF ADULT CRIMINAL HISTORY SUMMARY

-4-

REF.: _____

FAMILY/ENVIRONMENTAL INFORMATION

REF.: _____

MARITAL/RESIDENTIAL STABILITY	NUMBER OF DEPENDENTS	MARITAL STATUS
		Single/ Never Married ☐1 Married ☐2 Separated ☐3 Divorced ☐4
		Widow/ Widower ☐5 Divorced/ Remarried ☐6 Widowed/ Remarried ☐7 Other ☐8 Unknown ☐

LIVING STATUS

Alone ☐1   Single parent/Head household ☐2   With spouse ☐3   With parent/Other relative ☐4   Other ☐5

LENGTH OF RESIDENCE AT CURRENT ADDRESS	LENGTH OF RESIDENCE IN LOCAL AREA	LENGTH OF RESIDENCE APART FROM PARENTS	HAS ANY MEMBER OF OFFENDER'S FAMILY EVER BEEN CONVICTED OF A FELONY
Years _____ Months _____	Years _____ Months _____	Years _____ Months _____	No ☐1 Yes ☐2 Unknown ☐

SPOUSE NAME/ADDRESS

NARRATIVE OF FAMILY/ENVIRONMENTAL INFORMATION

-5-

REF.: _____

OFFENDER PERSONAL HISTORY

REF.: _____

EDUCATION	HIGHEST EDUCATION ACHIEVEMENT YEARS	NAME/LOCATION OF LAST SCHOOL ATTENDED
	☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ 1 2 3 4 5 6 7 8 9 10 11 12 ☐ ☐ ☐ ☐ ☐ 13 14 15 16 17	

EDUCATION NARRATIVE

Military History N/A ☐	Current military status None ☐1 Reserve ☐2 Active ☐3	Length of service Years _____ Months _____

Dates of service _____ to _____ (mm/dd/yy) (mm/dd/yy)	Type of discharge Unknown ☐ Honorable ☐1 Medical ☐2 General ☐3 Undesirable ☐4 Bad conduct ☐5 Dishonorable ☐6 Member at time of offense ☐7 None ☐8

MILITARY HISTORY NARRATIVE

Social/Religious Activities	Social Activities None Specified ☐1 Constructive ☐2 Non-constructive ☐3

Religion Active ☐1 Inactive ☐2 None ☐3	Religious Preference Protestant ☐1 Catholic ☐2 Jewish ☐3 Other ☐4 Moslem ☐5 Muslim ☐6 No Preference ☐7 Unknown ☐

SOCIAL/RELIGIOUS ACTIVITIES NARRATIVE

PERSONAL HISTORY CONTINUED

REF: _____

Employment History	Employment at time of offense
	Full time ☐1 Part time ☐2 Full-time student ☐3 Housewife ☐4 Retired/Disabled ☐5 Unemployed ☐6

Type of Employment	Description of Occupation	Occupation Code
Skilled ☐1 Semi-skilled ☐2 Unskilled ☐3 Student ☐4		

Length of longest employment	Longest employment period within past two years
Years _____ Months _____	Years _____ Months _____

Employment record over past two years
Regular, few changes ☐1   Regular, many changes ☐2   Irregular ☐3   Odd jobs only ☐4   No work record ☐5

EMPLOYMENT HISTORY NARRATIVE

Financial Status	Residence	Checking Account	Savings Account	Gross monthly income claimed
	Own ☐1 Rent ☐2 Other ☐3	No Yes ☐	No ☐ Yes ☐	$

Total indebtedness	Total monthly payment claimed	Source of subsistence
$	$	Job ☐1 Assistance ☐2 Spouse ☐3 Family ☐4 Other ☐5 None ☐6

FINANCIAL STATUS NARRATIVE

REF: _____

Health Information	Physical health condition		Physical handicaps	Mental health treatment	Mental health commitment
	Good ☐1 Fair ☐2 Poor ☐3		No ☐ Yes ☐	No ☐ Yes ☐	No ☐ Yes ☐

Type of mental health treatment

Inpatient ☐1   Outpatient ☐2   N/A ☐

Type of mental health commitment

Involuntary ☐1   Court ordered evaluation ☐2   Voluntary ☐3   N/A ☐

Drug use claimed

Not used ☐(No)   Heavy use ☐(Y1)   Moderate use ☐(Y2)   Occasional use ☐(Y3)   Extent unknown ☐(Y4)

Drug use apparent	Drug treatment
No ☐ Yes ☐	No ☐ Yes ☐

Type of substance claimed

Not used ☐(No)   Hallucinogens ☐(Y1)   Heroin ☐(Y2)   Opium ☐(Y3)   Cocaine ☐(Y4)   Synthetic narcotics ☐(Y5)
Marijuana ☐(Y6)   Amphetamines ☐(Y7)   Barbiturates ☐(Y8)   Drug type unknown (e.g. hypnotic, sedative) ☐(Y9)   Not available ☐ (NA)

Alcohol use claimed

Not used ☐(No)   Heavy use ☐(Y1)   Moderate use ☐(Y2)   Occasional use ☐(Y3)   Extent unknown ☐(Y4)

Alcohol abuse apparent	Alcohol treatment
No ☐ Yes ☐	No ☐ Yes ☐

Height	Weight	Color eyes
_____ ft. _____ in.		Black ☐ (BLK) Blue ☐ (BLU) Brown ☐ (BRO) Grey ☐ (GRY) Green ☐ (GRN) Hazel ☐ (HAZ) Pink ☐ (PNK) Mismatched ☐ (MIS)

Color hair

Black ☐ (BLK)   Brown ☐ (BRO)   Blonde ☐ (BLN)   Red ☐ (RED)   White ☐ (WHI)   Grey ☐ (GRY)   Sandy ☐ (SNY)   Bald ☐ (BAL)   Auburn ☐ (AUB)

Scars, Marks, Tattoos

HEALTH INFORMATION NARRATIVE

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COMMUNITY SUPERVISION PLAN AND SUMMARY

REF: _____

Community Supervision Plan	Residence Plan Alone ☐1 Parents ☐2 Spouse ☐3 Spouse and dependents ☐4 Other relatives ☐5 Employer ☐6 Other ☐7

Residence	**Employment**
Name _____	Name _____
Address _____	Address _____
Telephone ( ) _____	Telephone ( ) _____

OFFENDER'S PLAN OF RESTITUTION

OFFENDER'S COMMUNITY PLAN TO HELP SELF

COMMUNITY RESOURCES PROPOSED FOR OFFENDER ASSISTANCE

RECOMMENDATION
PROBATION ☐1   COMMUNITY PLAN ☐2   INCARCERATION ☐3   OTHER ☐4   NO RECOMMENDATION ☐5

RECOMMENDATION SUMMARY

Respectfully submitted,

Probation and Parole Officer

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Presentence Report
Criminal History Attachment

Ref: _____

Prior Record	Offender's Name				FBI Number
State ID Number (CCRE) VA	Local P.D. Number	Race	Sex	Date of Birth	Social Security Number

Criminal History Narrative - (Include arrest, conviction and sentencing dates when available; probation and parole openings, closings with adjustments, and revocations; and any pending charges including instant offense.)

Date	Jurisdiction	Charged Offense	Convicted Offense	Sentencing Date	Sentencing Information

Prior Record	Offender's Name		FBI Number
State ID Number (CCRE) VA	Local P.D. Number	Race	Sex	Date of Birth	Social Security Number

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